



# Price list SIX SIS International Services

**Valid as of 1 July 2021**

July 2021



# Price list SIX SIS International Services

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## 1.0 Basis for the pricing model and invoicing

SIX SIS pursues an open and transparent pricing policy. SIX SIS is committed to offering its services at competitive and cost-effective prices. Flexible pricing for both small and large volumes in Switzerland and abroad plays an important role. The pricing model is based on the current pricing policy approved by the Board of Directors:

- Transparent and attractive pricing
- Application of "user pays" principle and fair pricing
- Economies of scale obtained at purchase are passed on to participants

SIX SIS supports the Code of Conduct\*.

\*The European Code of Conduct on Clearing and Settlement is a voluntary self-regulation of the European stock exchanges, settlement agencies and central securities depositories (CSDs). See also <https://www.six-group.com/en/products-services/the-swiss-stock-exchange/post-trade/settlement-and-custody/info-center.html#scrollTo=code-of-conduct>

## 1.1 General

### Invoicing

SIX SIS sends its participants a detailed invoice each month for the services used. All invoice amounts are indicated in Swiss francs (CHF). Participants have the choice between the direct debit procedure (bank account) and a debit of their cash account – in CHF, EUR, GBP or USD – with SIX SIS.

The pricing overview and the monthly invoice (report RPFE010) have the same structure. The fee code is indicated for each position, enabling participants to see at once what the position stands for. Manual bookings (RPFE070) and manual intervention fees/MIFs (RPFE075) are shown in detail on an ongoing basis in the monthly report. These items are mainly caused by market-specific services provided by third parties in connection with the processing of transactions or with other tasks executed abroad. They are passed on to participants.

### Price details

Prices are set in CHF, basis points per annum/month (BP p.a., BP p.m.), per transaction, or in percent per annum (e.g. Securities Lending/Borrowing), on the value of the financial volume under management and are quoted exclusive of VAT. One basis point equals 0.01%.

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### **Client groups**

In principle, for services with sliding scale prices and rebates, the volumes of a client group are taken into account. At SIX SIS and SIX x-clear, the following conditions must be met in order to maintain a client group:

Institutions must have a parent company/subsidiary relationship or be part of a holding company and these participations must be consolidated in the same group financial statements.

In calculating prices, this has the following impact:

- when granting a volume rebate, all relevant volumes (e.g. custody account assets, transactions) of the group are taken into consideration, i.e. rebates are granted based on the group volumes.
- Volume-based prices apply based on the group volume.

Business Partners that are not part of a group will be treated as an individual client accordingly. The volumes of Assigned Business Partners (ABP) are already consolidated at the level of the top-level Business Partner, meaning a client with an ABP will benefit, for example, from volume rebates that are granted to the entire client group.

### **Third-party fees**

If SIX SIS incurs costs and expenses in connection with the provision of services, SIX SIS is authorized to charge these to the relevant participant. This also applies in the event that a third party involved charges SIX SIS costs and expenses (see Art. 11b GTC SIX SIS).

#### **1.2 Rebate models (individual service level)**

The volume-based rebate model that applies in the price lists of SIX SIS and SIX x-clear Ltd is structured as a sliding scale rebate model. With this model, each level of the sliding scale must be passed through, i.e. the rebate rate only applies to the volume at the respective level. The average rebate rate/price applied is shown on the invoice.

Example of sliding scale rebate

In the event of level 3 being reached for the total volume:

1. No rebate is granted for the volume at level 1.
2. For the volume at level 2, the rebate valid for level 2 is granted.
3. For the volume at level 3, the rebate valid for level 3 is granted.
4. (No volume in level 4 or above)

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### 2.0 Custody Services

#### 2.1 International settlement transactions

##### Volume rebate model

A sliding scale rebate, which depends on the monthly transaction volume, is granted on the above-mentioned gross prices for international settlement transactions (fee code 2500), including INSET (fee code 2510 and 2515) as follows:

| Sliding scale rebate on international settlement transactions (incl. INSET) |                           |                           |        |
|---|---------------------------|---------------------------|--------|
| Levels  | Min. monthly transactions | Max. monthly transactions | Rebate |
| 0   | 0                         | 999                       | 0.00%  |
| 1   | 1,000                     | 9,999                     | 15.00% |
| 2   | 10,000                    | 24,999                    | 30.00% |
| 3   | 25,000                    | 49,999                    | 40.00% |
| 4   | 50,000                    | 99,999                    | 50.00% |
| 5   | 100,000                   |                           | 60.00% |

All international transactions (in all markets) of a client group are taken into consideration for the sliding scale rebate (see also Client groups).

- The net price per market is calculated as follows: Gross price \* (1 – Group volume discount in %)

International settlement transactions (cross-border settlements) are usually charged at a standardized gross rate per custodian. If various domestic markets are settled via a custodian (hub situations), the gross rate can differ. Participants can find the relevant rate under the corresponding domestic market, which also appears on the monthly fee invoice. Participants also benefit from volume rebates on the following gross prices:

| Designation              | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------|--------------------|-------------|-------|------|
| International settlement | per transaction    | see below   | 0.00% | 2500 |

| Domestic market |                 | Custodian  | Gross rate in CHF |
|-----------------|-----------------|------------|-------------------|
| AR              | Argentina       | AR.100'006 | 80.00             |
| AU              | Australia       | AU.100'226 | 8.00              |
| AT              | Austria         | AT.100'042 | 9.00              |
| ATe             | Austria (Funds) | AT.100'147 | 35.00             |
| BE              | Belgium         | NL.100'003 | 4.00              |
|                 |                 | FR.100'070 |                   |
|                 |                 | BE.100'609 |                   |
| BR              | Brazil          | BR.100'005 | 30.00             |
| CA              | Canada          | CA.100'045 | 6.50              |
| CN              | China           | CN.100'013 | 150.00            |
| HR              | Croatia         | AT.100'198 | 150.00            |
| CY              | Cyprus          | GR.110'013 | 25.00             |
| CZ              | Czech Republic  | AT.100'309 | 50.00             |
| DK              | Denmark         | DK.100'033 | 4.00              |

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| Domestic market |                                     | Custodian                | Gross rate in CHF |
|-----------------|-------------------------------------|--------------------------|-------------------|
|                 |                                     | DK.100'105               |                   |
| EE              | Estonia                             | FI.100'019               | 150.00            |
| FI              | Finland                             | FI.100'019               | 10.00             |
| FR              | France                              | NL.100'003<br>FR.100'070 | 4.00              |
| DE              | Germany <sup>1</sup>                | DE.100'002<br>DE.100'408 | 1.90              |
| GR              | Greece                              | GR.110'013               | 40.00             |
| HK              | Hong Kong                           | HK.100'004               | 15.00             |
| HU              | Hungary                             | HU.100'024               | 30.00             |
| ID              | Indonesia                           | ID.100'030               | 100.00            |
| IE              | Ireland equities (excl. ETFs)       | BE.100'519               | 5.00              |
| IEc             | Ireland (Euroclear UK) <sup>2</sup> | GB.101'985               | 5.00              |
| IL              | Israel                              | IL.100'007               | 60.00             |
| IT              | Italy                               | IT.100'054               | 6.50              |
| JP              | Japan                               | JP.100'040               | 7.50              |
| LV              | Latvia                              | FI.100'019               | 150.00            |
| LT              | Lithuania                           | FI.100'019               | 150.00            |
| MY              | Malaysia                            | MY.100'005               | 120.00            |
| MX              | Mexico                              | MX.100'003               | 18.00             |
| NL              | Netherlands                         | NL.100'003<br>FR.100'070 | 4.00              |
| NZ              | New Zealand                         | NZ.100'027               | 40.00             |
| NO              | Norway                              | NO.150'010               | 7.00              |
| PH              | Philippines                         | PH.100'005               | 150.00            |
| PL              | Poland                              | PL.100'014               | 50.00             |
| PT              | Portugal                            | FR.100'070               | 9.00              |
| QA              | Qatar                               | QA.100'007               | 150.00            |
| RU              | Russia                              | AT.100'198               | 220.00            |
| SG              | Singapore                           | SG.100'002               | 35.00             |
| ZA              | South Africa                        | ZA.100'002               | 29.00             |
| KR              | South Korea                         | KR.100'002               | 50.00             |
| ES              | Spain                               | ES.100'017               | 12.00             |
| SE              | Sweden                              | SE.100'033               | 5.00              |
| TW              | Taiwan                              | TW.100'008               | 100.00            |
| TH              | Thailand                            | TH.100'000               | 60.00             |
| TR              | Turkey                              | TR.100'013               | 75.00             |
| UA              | Ukraine                             | AT.100'198               | 400.00            |
| GB              | United Kingdom                      | GB.101'985               | 4.00              |
| AE              | United Arab Emirates                | AE.100'033<br>AE.100'017 | 80.00             |
| US              | USA                                 | US.100'025               | 3.60              |

<sup>1</sup> XETRA non-CCP transactions via CBF are also charged via the DE market.

<sup>2</sup> Holdings resulting from Ireland (Euroclear UK) settlements are subject to CDI (Crest deposit interest) third-party fees.

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## Special markets

| Domestic market |  | Custodian  | Gross rate in CHF |
|-----------------|--|------------|-------------------|
| CBe             | CBL Eurobonds <sup>1</sup>             | LU.100'060 | 1.90              |
| CBb             | CBL Bonds <sup>2</sup>                 | LU.100'060 | 3.80              |
| CBn             | CBL non-Bonds <sup>3</sup>             | LU.100'060 | 8.00              |
| ECe             | EoC Eurobonds                          | BE.100'519 | 4.00              |
| ECb             | EoC Bonds                              | BE.100'519 | 6.00              |
| ECn             | EoC non-Bonds (excl. Ireland equities) | BE.100'519 | 8.00              |

<sup>1</sup>XETRA and XONTRO non-CCP transactions (Eurobonds) via CBL are also charged via the CBe market.

<sup>2</sup>XETRA and XONTRO non-CCP transactions (other bonds) via CBL are also charged via the CBb market.

<sup>3</sup>XETRA and XONTRO non-CCP transactions (non-bonds) via CBL are also charged via the CBn market.

**Please note:** The gross settlement prices mentioned above also apply for ETFs. For settlement transactions involving international securities between SIX SIS participants, the price for inhouse settlements applies (see Price list Domestic, fee code 2000). Third-party fees may be incurred in relation to receipt and delivery of physical securities physical handling; these are charged via the fee code "Int. settlement 3rd-party fees (with VAT)" (8250). In certain markets, third-party fees may be incurred for late/failed settlements; these are charged via the fee code "Int. settlement 3rd-party fees (without VAT)" (8260).

## T2S

In addition to Swiss securities in EUR, SIX SIS participants can also settle cross-border transactions in other T2S markets directly via investor CSD connections. These EUR settlements are charged as T2S settlements with the corresponding fees (i.e. T2S settlement fee of SIX SIS plus any third-party fees incurred, not limited to T2S third-party fees of the ECB; see Price list Domestic of SIX SIS Ltd). This rule will apply until further notice.

## Integrated settlement transactions (INSET)

The prices listed above for international settlement transactions are also applied on the INSET solution (integrated settlement transactions). Exceptions are outlined below.

| Designation  | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| International settlement - XETRA CCP transactions (INSET)*     | per transaction    | 1.00        | 0.00% | 2510 |
| International settlement - XONTRO non-CCP transactions (INSET) | per transaction    | 1.00        | 0.00% | 2515 |

\*Eurex underlying CCP transactions via CBF and CBL will also be charged via this fee code.

**Please note:** Depending on the client set-up, SIX SIS reserves the right to charge XETRA CCP transactions and XONTRO non-CCP transactions as regular settlements (fee code 2500) via the DE market code.

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### The following notes apply to all international settlement transactions:

**Cancellations:** System-related\* or manually initiated deletions of settlement orders are not invoiced separately. However, the fee for the settlement order will be charged even in the event of a cancellation.

\*Once a market deadline in a given market has expired, SECOM cancels all pending orders in the system automatically.

**Account transfers:** If account transfers are permitted at international settlement agencies, these are invoiced in the same way as regular settlements.

However, additional expenses are invoiced separately (see also Bulk custody account transfers).

**Automatic repairs:** For instruction errors (e.g. individual format errors) that can be corrected automatically at SIX SIS, no separate fees are charged. For manual interventions/repairs, fees are incurred in line with code 2900 below.

**Stamp duty reclaims:** No separate fees are charged for stamp duty reclaims. However, any third-party fees are passed on to participants ("Tax 3rd-party fees", code 8350).

## 2.2

### Conversions

With regard to the conversion services provided by SIX SIS, participants can choose between clarifications only and clarifications with instructions. They are invoiced as follows:

| Designation         | Calculation method                  | Rate in CHF | VAT   | Code |
|---------------------|-------------------------------------|-------------|-------|------|
| Conversion services | per clarification only              | 100.00      | 0.00% | 2770 |
|                     | per clarification with instructions | 150.00      |       |      |

**Please note:** Any third-party fees are charged additionally ("Int. settlement 3rd-party fees (with VAT)", code 8250).

Conversions of Orascom Development Holding (ISIN CH.003'828'567'9) for transfers between the Egyptian and Swiss markets are charged to participants as follows:

| Designation         | Agent price per conversion value | Minimum rate in CHF | VAT   | Code |
|---------------------|----------------------------------|---------------------|-------|------|
| Conversion services | 0.03%                            | 100.00              | 0.00% | 2770 |

**Please note:** All third-party fees are charged additionally ("Int. settlement 3rd-party fees (with VAT)", code 8250 & "Int. settlement 3rd-party fees (without VAT)", code 8260).

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### 2.3 Registrations and restrictions

The (re-)registration of a certificate for the purpose of remittance/withdrawal is charged as follows:

| Designation                              | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| International settlement - registrations | per order          | 120.00      | 7.70% | 2780 |

Exceptional registrations are invoiced separately and may occur in the Japanese market for physical remittances and in the Canadian and US markets for lifting restrictions. These are charged as follows:

| Designation                                      | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| International settlement - Restricted securities | per order          | see below   | 7.70% | 2781 |

| Market | Description   | Rate in CHF |
|--------|---|-------------|
| Japan  | Clarification only                                    | 300.00      |
|        | Clarification incl. completion of physical remittance | 500.00      |
| Canada | Clarification only                                    | 225.00      |
|        | Clarification incl. lifting of a restriction          |             |
| USA    | Clarification only                                    | 375.00      |
|        | Clarification incl. lifting of a restriction          | 525.00      |

Irrespective of whether the order is successful, the clarifications are invoiced even if the remittance is not accepted in Japan (CHF 300) or the restrictions cannot be lifted in Canada or the US (CHF 225 and CHF 375, respectively). Any third-party fees are charged additionally ("Int. settlement 3rd-party fees (with VAT)", code 8250).

### 2.4 Special orders

The additional fees listed below are charged for certain special orders relating to international settlement transactions requested by participants that SIX SIS has to execute manually (primarily portfolio realignments).

The following manual processes can be requested by participants in this regard:

- Position transfers (PTFs) from one type of position to another (e.g. KK to DE).
- Cash-only transactions for the Canadian and US markets
- SPO charge and pair-off for the US market

| Designation   | Calculation method | Rate in CHF | VAT   | Code |
|---|--------------------|-------------|-------|------|
| International settlement - Portfolio realignment transactions | per order          | 150.00      | 0.00% | 2700 |

**Please note:** Any third-party fees are charged additionally ("Int. settlement 3rd-party fees (with VAT)", code 8250 and "Int. settlement 3rd-party fees (without VAT)", code 8260). Instructions

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involving separated position types will be charged pursuant to the corresponding cross-border rates.

### Refund of initial transfers

For custody account transfers for new participants or for new market activations, any cost refunds, if applicable, will be carried out under the following codes:

| Designation                                  | Calculation method | Rate in CHF  | VAT   | Code |
|--|--------------------|--------------|-------|------|
| Refund of initial transfers                  | n.a.               | actual costs | 0.00% | 3200 |
| Refund of initial transfers (3rd-party fees) | n.a.               | actual costs | 7.70% | 3205 |

### Order management and manual interventions

Any manual interventions required on the part of SIX SIS in relation to order management or corrected orders/instructions on the part of SIX SIS or its custodians are charged as follows:

| Designation                    | Calculation method                                   | Rate in CHF | VAT   | Code |
|--------------------------------|--|-------------|-------|------|
| Settlement manual intervention | Manual entry/correction by SIX SIS or its custodians | 75.00       | 0.00% | 2900 |
|                                | Manual IPO routing expenses                          | 150.00      |       |      |

\*Due to the Indian market practice, SIX SIS assumes a routing function in the context of the subscription and settlement of IPOs.

**Please note:** The underlying service (usually settlement) is invoiced separately. Manually corrected orders/instructions are then also invoiced if the executed transaction is canceled in the mean time.

The prices under Global Funds apply for Global Funds – see sub-chapter 3.3.3 *Exception fees (settlement services)*.

### Bulk custody account transfers

SIX SIS assists its participants with bulk transfer requests. This service is charged at cost for each custody account or as is standard in line with a quotation (usually at least CHF 1,500). Any settlement fees incurred in this respect are charged additionally via the settlement fee code 2000 or 2500.

Fees incurred in connection with a bulk transfer are not listed separately but are booked together with all other extraordinary settlement services, which are charged at cost and have been agreed upon with participants, to the following fee code:

| Designation                               | Calculation method | Rate in CHF               | VAT   | Code |
|---|--------------------|---------------------------|-------|------|
| Settlement miscellaneous/ Special efforts | n.a.               | at cost<br>min. CHF 1'500 | 0.00% | 2990 |

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### Third-party fees

Third-party fees related to international settlement transactions are passed on to participants. A distinction is made between services that are subject to VAT and services that are exempt from VAT.

| Designation                                  | Calculation method | Rate in CHF  | VAT   | Code |
|--|--------------------|--------------|-------|------|
| Int. settlement 3rd-party fees (with VAT)    | n.a.               | actual costs | 7.70% | 8250 |
| Int. settlement 3rd-party fees (without VAT) | n.a.               | actual costs | 0.00% | 8260 |

2.5

### Safe custody

#### Volume rebate model

A volume-related sliding scale rebate is granted across all international assets under custody, comprising the international core custody (3010) and ESES floor value gap (3011) fee codes.

| Sliding scale rebate on securities safekeeping |                 |                 |        |
|--|-----------------|-----------------|--------|
| Levels   | Minimum in CHF  | Maximum in CHF  | Rebate |
| 0  | 0               | 1,999,999,999   | 0.00%  |
| 1  | 2,000,000,000   | 9,999,999,999   | 15.00% |
| 2  | 10,000,000,000  | 49,999,999,999  | 30.00% |
| 3  | 50,000,000,000  | 99,999,999,999  | 40.00% |
| 4  | 100,000,000,000 | 199,999,999,999 | 50.00% |
| 5  | 200,000,000,000 |                 | 60.00% |

All of the client group's international custody account assets are taken into consideration when calculating the sliding scale rebate for securities safekeeping (see also Client groups). Basically, each level of the model must be passed through, i.e. the rebate rate only applies to the volume at the respective level. On the invoice, the rebate rate applied on average is shown.

- The net price per market is calculated as follows: Gross price \* (1 - Group volume discount in %)

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All important core services related to the safekeeping of international holdings are charged via a collective price that depends on the deposit value of the holdings. Participants benefit from volume rebates (see above) on the following gross prices:

| Designation                | Calculation method   | Rate in BP p.a. | VAT   | Code |
|----------------------------|--|-----------------|-------|------|
| International core custody | Share of deposit value   | see below       | 7.70% | 3010 |
| ESES floor value gap       | Share of ESES add-on deposit value (ESES floor value – market value) | see below       | 7.70% | 3011 |

| Market group  | BP p.a.             |                    | Markets  |
|---------------|---------------------|--------------------|--|
|               | Shares <sup>1</sup> | Bonds <sup>2</sup> |  |
| Africa        | 3.00 - 10.00        | 3.00 - 10.00       | Botswana, Cameroon, Gabon, Liberia, Morocco, Nigeria, South Africa, Zambia, Zimbabwe   |
| Asia 1        | 0.75 - 4.00         | 1.50 - 5.00        | Hong Kong, Japan, Singapore  |
| Asia 2        | 12.00 - 30.00       | 12.00 - 30.00      | China, India, Indonesia, Malaysia, Philippines, South Korea, Taiwan, Thailand  |
| Australia     | 0.75 - 6.00         | 0.75 - 5.00        | Australia, Cook Islands, Marshall Islands, New Zealand, Papua New Guinea   |
| America 1     | 0.45 - 5.50         | 0.45 - 5.00        | Anguilla, Antigua and Barbuda, Bahamas, Barbados, Belize, Canada, Cayman Islands, Falkland Islands, Netherlands Antilles, Panama, Turks & Caicos Islands, USA, Virgin Islands, Virgin Islands (US)                 |
| America 2     | 8.00 - 75.00        | 10.00 - 100.00     | Argentina, Brazil, Chile, Cuba, Curaçao, Jamaica, Mexico, Peru   |
| Europe 1      | 0.40 - 9.00         | 0.75 - 9.00        | Austria, Belgium, Bermuda, Denmark, Faroe Islands, Finland, France, Germany, Gibraltar, Guernsey, Ireland, Isle of Man, Italy, Jersey, Luxembourg, Malta, Monaco, Netherlands, Norway, Portugal, Spain, Sweden, UK |
| Europe 2      | 12.00 - 25.00       | 12.00 - 25.00      | Czech Republic, Estonia, Greece, Hungary, Iceland, Poland, Romania, Russia, Slovenia   |
| Europe 3      | 50.00 - 500.00      | 50.00 - 500.00     | Bulgaria, Croatia, Latvia, Lithuania, Slovakia, Ukraine  |
| Middle East 1 | 3.00 - 8.00         | 7.00 - 8.00        | Cyprus, Israel   |
| Middle East 2 | 20.00 - 150.00      | 20.00 - 200.00     | Kazakhstan, Qatar, Turkey, United Arab Emirates  |

| Special markets                 | Market code | Shares <sup>1</sup> | Bonds <sup>2</sup> |
|---------------------------------|-------------|---------------------|--------------------|
| Eurobonds                       | EM          | 0.60                | 0.60               |
| International ETFs <sup>3</sup> | IX          | 1.50                | 1.50               |
| Other markets*                  | RX          | on request          | on request         |

<sup>1</sup> Shares (equities, ETFs, mutual funds etc.)

<sup>2</sup> Bonds (debt securities, warrants, rights etc.)

<sup>3</sup> International ETFs held with an ICSD

\*For more information or a price offer, please contact your Relationship Manager.

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### Special notes on the ESES floor value gap

- The floor value applies at the level of the security whenever the market value is lower than the ESES floor value (i.e. EUR 1, EUR 6 or EUR 12).
- On fee code 3010, SIX SIS charges international custody fees based on securities market values at month-end (using average monthly holdings) as usual.
- On fee code 3011, SIX SIS charges the ESES floor value gap, representing the ESES add-on deposit value (floor value minus market value).
- With regard to the latest available ESES floor value list, kindly note that ISIN and/or floor value changes might result in fee adjustments in subsequent months. Accordingly, SIX SIS reserves the right to charge the participant corresponding difference amounts.

*Sample fee calculation to illustrate monthly fee charging for an ESES floor value ISIN:*

|                      |  |
|----------------------|--|
| <i>Input data</i>    | <i>Average monthly holdings 100,000 shares<br/>EUR/CHF 1.0800<br/>Market value EUR 0.20 (CHF 0.216)<br/>ESES floor value EUR 6.00 (CHF 6.48)<br/>Applicable* client net price (at SIX) b.p. 1.00</i> |
| <i>Fee code 3010</i> | <i><math>100,000 \times 0.20 \times 1.08 \times 1.00 / 120,000 = \text{CHF } 0.18 \text{ net fees}</math></i>  |
| <i>Fee code 3011</i> | <i><math>100,000 \times (6.00 - 0.20) \times 1.08 \times 1.00 / 120,000 = \text{CHF } 5.22 \text{ net fees}</math></i>   |

*\* Assumed sample net price – actual net price will depend on applicable market price and sliding scale rebate.*

**Please note:** Any third-party fees, for example in relation to special linked account set-ups, are charged additionally ("Int. custody agent 3rd-party fees", code 8300 & "Int. custody general 3rd-party fees", code 8310). For products with a fund-specific market code (e.g. XA, XB), see sub-chapter 3.4 *Safekeeping*.

The safe custody price covers the administration of securities data, corporate actions (mandatory/voluntary), administering holdings of companies that are insolvent or in liquidation, the execution of waivers as well as communication services.

### Rules for determining a market to which an ISIN belongs

For market allocation, the ISIN prefix is decisive for all securities. Exceptions:

- a. Eurobonds (EM): Eurobonds according to SIX Financial Information (MAZU-1) plus all XS securities
- b. China: H shares are allocated to the Hong Kong market
- c. China: S shares are allocated to the Singapore market
- d. Netherlands Antilles (AN): these securities are allocated to the Curaçao (CW) market.

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- e. International ETFs that are held with an ICSD are allocated to market IX. (Please note: All other ETFs are allocated in accordance with the ISIN prefix and booked in line with the market code – e.g. ETF Germany in accordance with the German market.)
- f. Switzerland: All vault securities incl. registered shares and dematerialized funds, incl. intermediated securities with Swiss/Liechtenstein main paying agents are allocated to the Swiss (CH) market.
  - All vault securities for Liechtenstein (LI) will equally be allocated to the Swiss market.
  - For securities with the CH prefix without a main paying agent function of a SIX SIS client or securities without an official ISIN, the SIX SIS main custodian will be the criterion for market allocation.
- g. Funds: The categorization of Global Funds is based on operational and market-specific factors and is the responsibility of SIX SIS.

### 2.6 Low priced securities custody fee

From a risk perspective, “low-priced securities” (LPS) require a higher degree of monitoring. They are under strict/constant observation of the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) in the US.

In this respect, participants will be charged a fixed fee for each LPS ISIN position that they hold as at month-end.

| Designation     | Calculation method           | Rate in CHF | VAT   | Code |
|-----------------|------------------------------|-------------|-------|------|
| LPS custody fee | Per LPS ISIN as at month-end | 25.00       | 7.70% | 3220 |

LPS ISINs will only be charged once a month for each participant (BP ID). Any ISIN that appears on the “List of Low Priced Securities In-Scope Universe” is deemed to be an LPS. The list can be found at [www.six-group.com](http://www.six-group.com) > Login > Securites Services Private > MarketGuide > Securities lists > USA.

### 2.7 Corporate actions

SIX SIS distinguishes between corporate actions (C/A) without any choice (mandatory corporate actions – M/A) and corporate actions with a choice (voluntary corporate actions – V/A).

In principle, the price for securities safekeeping includes the execution of corporate actions. An additional fee per instruction is only charged in the following cases:

- Late V/A instructions
- Non-compliance with deadline
- Changes to instructions after deadline
- Intervention due to non-compliance with instruction requirements

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| Designation                     | Calculation method | Rate in CHF | VAT   | Code |
|---------------------------------|--------------------|-------------|-------|------|
| Late/ corrected V/A instruction | per order          | 250.00      | 0.00% | 3290 |

### Manual corporate action orders for structured products

Manual redemptions and interest payments for structured products (CONNEXOR® Events) or events where manual intervention is required on the part of SIX SIS will not be invoiced separately. However, SIX SIS reserves the right to charge fees under "Late/ corrected V/A instruction" (code 3290) in the case of excessive use.

### 2.8 General meetings and proxy voting

For general meetings and proxy voting, two different processes, based on the market, exist. Non-EU/EEA assets can be handled through CAES. For EU/EEA assets, either SWIFT messages or the GM SRD Portal are used.

#### 2.8.1 General meetings and proxy voting in CAES (non-EU/EEA markets)

Automatically processed orders (straight-through processing, STP) for general meetings and proxy voting are charged on a standardized basis per business transaction. Orders that need to be processed manually (non-STP) are charged at a higher rate.

| Designation                                     | Calculation method  | Rate in CHF | VAT   | Code |
|---|---|-------------|-------|------|
| Custody proxy voting service / Proxy Light      | Per business transaction (e.g. per voting instruction, per admission card, per Votex) | 35.00       | 7.70% | 3300 |
| Custody proxy voting service / Proxy Full (STP) | Per notification incl. voting instructions, per admission card                        | 35.00       | 7.70% | 3300 |
| Custody proxy voting non-STP service            | Per business transaction (e.g. per ISIN, voting instruction, admission card)          | 250.00      | 7.70% | 3310 |

**Please note:** Any third-party fees are charged in addition ("Custody proxy voting 3rd-party fees", code 8330).

Additional special/manual and individual services in the area of proxy voting and general meetings are charged at cost under the following fee code:

| Designation                          | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------------------|--------------------|-------------|-------|------|
| Custody proxy voting special efforts | n.a.               | at cost     | 7.70% | 3320 |

#### 2.8.2 General meetings and proxy voting in GM SRD Portal (EU/EEA markets)

General meetings and proxy voting for EU/EEA markets are affected by the Shareholder Rights Directive II (SRD II). SIX SIS participants need to choose if they want to handle these processes through SWIFT ISO 20022 messages (see sub-chapter 6.3 SWIFT) or the GM SRD Portal in SWS. These processes are enabled for a market as soon as the market is ready with SRD II.

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For the GM SRD Portal, automatically processed orders (straight-through processing, STP) for general meetings and proxy voting are charged on a standardized basis per business transaction. Orders that need to be processed manually (non-STP) are charged at a higher rate.

| Designation                                      | Calculation method   | Rate in CHF | VAT   | Code |
|--|--|-------------|-------|------|
| Custody proxy voting service notifications (STP) | Per notification   | 35.00       | 7.70% | 3305 |
| Custody proxy voting service instructions (STP)  | Per voting instructions, per admission card                                  | 35.00       | 7.70% | 3306 |
| Custody proxy voting non-STP service             | Per business transaction (e.g. per ISIN, voting instruction, admission card) | 250.00      | 7.70% | 3310 |

**Please note:** Any third-party fees are charged in addition ("Custody proxy voting 3rd-party fees", fee code 8330).

Additional special/manual and individual services in the area of proxy voting and general meetings are charged at cost under the following fee code:

| Designation                          | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------------------|--------------------|-------------|-------|------|
| Custody proxy voting special efforts | n.a.               | at cost     | 7.70% | 3320 |

### 2.9 Tax services

The tax services provided by SIX SIS include all administrative tasks related to tax reclaims as well as tax documentation and reporting for compliance reasons.

#### 2.9.1 Tax reclaims

SIX SIS offers an efficient tax reclaim service in all major markets. In some markets, even relief at source is possible. After receipt of the tax amount reclaimed, SIX SIS credits the amount to the client's account, provided tax reclaim services are offered for the respective market. In the case of relief at source, the correct deductions are made as of distribution date. Fees for tax services are listed separately on the monthly invoice. As tax services may involve very complex processes, please discuss the relevant prices and procedures with the "Tax Services" department in advance.

| Designation          | Calculation method | Rate in CHF | VAT   | Code |
|----------------------|--------------------|-------------|-------|------|
| Standard tax reclaim | see below          | see below   | 7.70% | 3400 |

| Market (ISIN prefix)           | Form/Service                | Rate in CHF |
|--------------------------------|-----------------------------|-------------|
| AT, BE, CZ, DK, FI, NO, SE, SK | Tax reclaim per application | 260.00      |
| Other (incl. CH)               | Tax reclaim per application | 260.00      |

**Please note:** Any in-depth research required in connection with tax reclaim applications that goes beyond the standard service is charged additionally at a rate of CHF 150.00 per hour. Any third-party fees incurred are charged additionally ("Tax 3rd-party fees", code 8350).

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Tax reclaims via the Tax Portal are charged via Fee Code 3400.

### 2.9.2 Tax vouchers

The following rates apply for issuing vouchers/tax receipts:

| Designation | Calculation method | Rate in CHF | VAT   | Code |
|-------------|--------------------|-------------|-------|------|
| Tax voucher | per position       | 45.00       | 7.70% | 3440 |

**Please note:** Any third-party fees incurred are charged additionally ("Tax 3rd-party fees", code 8'350).

The following rates apply for issuing German tax vouchers:

| Designation        | Calculation method   | Rate in CHF | VAT   | Code |
|--------------------|----------------------|-------------|-------|------|
| German tax voucher | per voucher/position | 65.00       | 7.70% | 3470 |

**Please note:** Any third-party fees incurred are charged additionally ("Tax 3rd-party fees", code 8350).

### 2.9.3 Tax relief and quick refund

The following rates apply for tax relief at source (RAS) and tax quick refund (QR); both services are priced the same:

| Designation                | Calculation method | Rate in CHF | VAT   | Code |
|----------------------------|--------------------|-------------|-------|------|
| Tax relief at source (RAS) | per application    | 230.00      | 7.70% | 3410 |
| Tax quick refund (QR)      | per application    | 230.00      | 7.70% | 3420 |

**Please note:** Any in-depth research required in connection with withholding tax reclaims that goes beyond the standard service is charged additionally at a rate of CHF 150.00 per hour. Any third-party fees incurred are charged additionally ("Tax 3rd-party fees", code 8350). Relief-at-source (RAS) applications within the German market (for investment funds) will be charged at CHF 75 per application.

### 2.9.4 Tax documentation and reporting

SIX SIS charges a flat fee for processing/uploading Financial Transaction Tax (FTT) reports. SIX SIS reserves the right to charge an hourly fee for any in-depth research required in connection with certain client queries/refund requests that goes beyond the standard service. The reports can either be generated by SIX SIS or made available by the client.

| Designation                         | Calculation method | Rate in CHF | VAT   | Code |
|-------------------------------------|--------------------|-------------|-------|------|
| Financial transaction tax reporting | per report         | 75.00       | 7.70% | 3475 |

**Please note:** Any in-depth research required in connection with tax documentation and reporting that goes beyond the standard service is charged additionally at a rate of CHF 150.00 per hour.

Tax documentation and reporting are charged as follows (for the US market in USD):

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| Designation                     | Calculation method | Rate      | VAT   | Code |
|---------------------------------|--------------------|-----------|-------|------|
| Tax documentation and reporting | see below          | see below | 7.70% | 3480 |

| Market | Description  | Rates          |
|--------|--|----------------|
| USA    | Maintenance costs (per active W-9 form and year <sup>1</sup> ) | USD 20.00      |
|        | 1099-Reporting (per issued form)                               | USD 100.00     |
|        | Cancellations (W-9 form) <sup>2</sup>                          | free of charge |
|        | Changing tax category (per incident)                           | USD 200.00     |
| Other  | Tax Disclosure Reporting                                       | CHF 75.00      |

<sup>1</sup> Maintenance payments include costs for administering the forms and sending the interim reports.

<sup>2</sup> Canceled W-9 forms are not returned to the depositor. They can be re-activated by means of "ON REQUEST BY THE QI BP" if needed (tariff initial setup).

**Please note:** Any in-depth research required in connection with tax reclaim applications that goes beyond the standard service is charged additionally at a rate of CHF 150.00 per hour. Any third-party fees incurred are charged additionally ("Tax 3rd-party fees", code 8350).

### 2.9.5 US tax reporting

Under the Foreign Account Tax Compliance Act (FATCA), SIX SIS Ltd is obliged to identify and document its participants.

Section 871(m) of the US Internal Revenue Code also contains an additional withholding and reporting obligation, which has resulted in an enhancement of our services for US tax-relevant securities.

Compliance with these two regulations gives rise to operating costs, which are mirrored in our fee structure. For these services, the following amounts will be charged for each relevant ISIN (on the basis of the affected tax domicile of each ISIN):

| Designation   | Calculation method              | Rate in CHF | VAT   | Code |
|---|---------------------------------|-------------|-------|------|
| Participant identification and documentation (incl. FATCA/871m reporting – if applicable) | per ISIN per month <sup>1</sup> | see below   | 7.70% | 3460 |

<sup>1</sup> also applicable for zero ISINs held due to participant identification and documentation obligations

| Level | Number of relevant securities (ISIN positions) | Rate in CHF |
|-------|--|-------------|
| 1     | 0-4  | 95.00       |
| 2     | 5-49   | 280.00      |
| 3     | 50-499   | 555.00      |
| 4     | 500-open                                       | 925.00      |

### 2.9.6 Handling of exceptions

Additional costs are invoiced (per application) for reclaim applications and applications for tax relief at source that were not submitted on time, incidences of non-compliance with legal deadlines, submitting incorrect reclaim applications and the associated return of such applications. SIX SIS also reserves the right to charge an hourly rate for certain client queries that go beyond the standard service and require in-depth

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research. This also includes, for example, the processing of capital gains tax (CGT) transactions.

| Designation                                | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| Tax special efforts and exception handling | see below          | see below   | 7.70% | 3450 |

| Market | Description   | Rate in CHF |
|--------|---|-------------|
| All    | Late submission of tax reclaims, relief at source and quick refunds (per application)                 | 150.00      |
|        | Correction of tax certifications (per application)  | 150.00      |
|        | Courier charges for urgent deliveries (per occurrence)  | 150.00      |
|        | Additional, in-depth manual research or processing of capital gains tax transactions (per hour)       | 150.00      |
| USA    | NRA manual corrections (fax form)   | 100.00      |
|        | Tax corrections W9 and/or tax corrections "undisclosed non-exempt US account" (per ISIN and maturity) |             |
|        | Entry of CBR information (per transaction)  | 75.00       |
| All    | CGT (capital gains tax)   | 150.00      |

### 2.9.7 Third-party fees

Known third-party fees that are charged via the fee code "Tax 3rd-party fees" (code 8350) are listed below:

| Market | Description  | Rate       |
|--------|--|------------|
| France | Cancellations/Reversals of tax reclaims or tax payments (per position):<br>before tax refund<br>after tax refund   | EUR 100.00 |
|        |  | EUR 500.00 |
| USA    | Initial setup for each W-9 form<br>(Covers all expenses for setup and maintenance occurring during the year in which W-9 form is submitted. This rate also applies if a setup is reactivated.) | USD 40.00  |

### 2.10 Communication and system services

With the exception of the communication channels listed under chapter 6.0 *Technical Connectivity*, all communication services are included in the overall custody fee ("domestic core custody", code 3000) and the communication fee for settlement participants ("Settlement Communication Fee", code 2300).

### 2.11 Third-party fees

Third-party fees related to international custody services are passed on to participants under the following fee codes.

| Designation                       | Calculation method | Rate in CHF  | VAT   | Code |
|-----------------------------------|--------------------|--------------|-------|------|
| Int. custody agent 3rd-party fees | n.a.               | actual costs | 7.70% | 8300 |

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| Designation                         | Calculation method | Rate in CHF  | VAT   | Code |
|-------------------------------------|--------------------|--------------|-------|------|
| Int. custody general 3rd-party fees | n.a.               | actual costs | 7.70% | 8310 |
| Custody proxy voting 3rd-party fees | n.a.               | actual costs | 7.70% | 8330 |
| Tax 3rd-party fees                  | n.a.               | actual costs | 7.70% | 8350 |

### 2.12 Extraordinary services

SIX SIS charges client for special services on an "at cost" basis. Specific fee codes for special services exist in the areas of settlement (2990), proxy voting (3320), tax services (3450) and risk management (5050). Other special services are charged under the following fee codes according to the table below:

| Designation                    | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------------|--------------------|-------------|-------|------|
| Miscellaneous/ Special efforts | see below          | see below   | 7.70% | 5500 |

| Description   | Calculation method   | Rate in CHF |
|---|--|-------------|
| Support/personnel expenses (per hour)   | On weekdays, during office hours (8:00 a.m.- 6:00 pm CET)  | 230.00      |
|   | On weekdays, outside office hours  | 345.00      |
|   | On weekends and public holidays  | 460.00      |
| Use of support system outside office hours (basic fee)  | Test environment   | 1,000.00    |
|   | Production   | 2,000.00    |
| Support/System costs (per hour)   | Computer usage, monitoring   | 500.00      |
| Standardized special reports  | Standardized special reports on/up to last three calendar months   | 250.00      |
|   | IRS Excel report (RVCS160)   |             |
|   | Regeneration of a SECOM report within one year   |             |
| Standardized special reports on/up to last three calendar months as standing order with predefined times of generation. | Initial costs for generation/programming of evaluations incl. initial report   | 250.00      |
|   | per additional report from 2nd time of generation  | 100.00      |
| Special data evaluations  | Initial costs for generation/programming of evaluations (flat rate charged for every report).  | 800.00      |
|   | Additional costs (time > 4 hrs per evaluation) are charged additionally on an hourly basis.  | 200.00      |
| Special evaluations "holdings maintenance fee"  | per report   | 150.00      |
| Confirmation of business relation   | per occurrence   | 250.00      |
| Collateral account keeping fee  | Monthly per custody account "03 collateral account for external entities", charged directly to collateral taking servicing institution | 600.00      |
| Support in case of late release changeover (per LUD)  | 1st started calendar month   | 2,000.00    |
|   | 2nd started calendar month   | 5,000.00    |
|   | 3rd started calendar month   | 10,000.00   |
|   | from 4th started calendar month  | 15,000.00   |
| Costs for internal legal services and costs for other internal  | per hour   | 230.00      |

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| Description   | Calculation method   | Rate in CHF |
|---|--|-------------|
| specialists in relation to judicial or administrative proceedings in accordance with Art. 9 (c) SIX SIS GTCB* |  |             |
| Confirmation of compliance with the applicable securities laws (for "main paying agents")                     | per ISIN   | 5,000.00    |
| Signature Tracking in OnDemand  | From the 21st signature registered in the OnDemand database, the annual fee listed in the right-hand column applies. The fee also applies for new activations performed during the year. | 20.00       |

\*Furthermore, external legal fees, costs in relation to expert consultations and other third-party costs that SIX SIS incurs in relation to judicial or administrative proceedings in accordance with Art. 9 (c) SIX SIS GTCB are charged to the client via "Legal 3rd-party fees" (code 8500).

**Please note:** All third-party fees are invoiced additionally (fee codes 8200 Domestic physical handling & logistics 3rd-party fees, 8330 Custody proxy voting 3rd-party fees, 8350 Tax 3rd-party fees, 8500 Legal 3rd-party fees).

### Legal advice costs

Legal advice costs (legal costs of external/third-party lawyers) for client transactions, or which are incurred on behalf of the client, are passed on to the client. If no legal opinion is submitted, costs incurred are passed on to the client in full.

| Designation          | Calculation method | Rate in CHF  | VAT   | Code |
|----------------------|--------------------|--------------|-------|------|
| Legal 3rd-party fees | n.a.               | actual costs | 7.70% | 8500 |

Third-party fees are charged via the specific fee code of the service area in question. Third-party fees that cover more than one area (e.g. travel expenses relating to consulting, training & coaching and webMAX updates) are charged to participants as follows:

| Designation                  | Calculation method | Rate in CHF  | VAT   | Code |
|------------------------------|--------------------|--------------|-------|------|
| Miscellaneous 3rd-party fees | n.a.               | actual costs | 7.70% | 8550 |

### 3.0 Fund Services

#### 3.1 Execution services

Execution service fees are applied for subscription, redemption (full and partial/gated) and switch transactions. Fees are levied per order processed. The fee covers the routing and confirmation of an order, plus the execution of the resulting share and/or cash movements.

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### 3.2 Transaction fees

| Description            | Calculation method  | Fee in CHF | VAT   | Code |
|------------------------|---------------------|------------|-------|------|
| Global Funds execution | per order processed | see below  | 0.00% | 1900 |

| Fund classification | Market code | Number of orders/month | Rate in CHF |
|---------------------|-------------|------------------------|-------------|
| STP Mutual Fund     | XA          | ≤ 99                   | 15.00       |
|                     |             | 100 - 499              | 10.00       |
|                     |             | 500 - 999              | 8.00        |
|                     |             | 1,000 - 2,499          | 6.00        |
|                     |             | from 2500              | 4.00        |

| Fund classification | Market code | Rate in CHF |
|---------------------|-------------|-------------|
| Mutual Fund non-STP | XB          | 55.00       |
| US / CA Mutual Fund | XU          | 50.00       |
| Hedge Fund          | XH          | 350.00      |

Global fund executions are charged via the fee invoice by default. At the express request of participants, the invoicing can be changed to contract note.

#### 3.2.1 Exception fees

| Description                               | Calculation method | Fee in CHF | VAT   | Code |
|---|--------------------|------------|-------|------|
| Global Funds execution exception handling | see below          | see below  | 0.00% | 1915 |

| Fund classification   | Market code | Calculation method | Rate in CHF |
|---|-------------|--------------------|-------------|
| Transmission of instructions via channel other than SWIFT, WebMax or SIS Web Portal | All         | per instruction    | 100.00      |
| Cancellation fees   | All         | per cancellation   | 50.00       |
| Special manual efforts  | All         | per hour           | 230.00      |

#### 3.2.2 Third-party fees

All additional/third-party fees related directly to an execution order (e.g. front-end fees) will be passed on in full and are charged as part of the order settlement.

### 3.3 Settlement services

Settlement service fees are applied for delivery and receive transactions either free of or against payment. Fees are levied per order processed. The fee covers the routing and confirmation of an order, plus the execution of the resulting share and/or cash movements.

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### 3.3.1 Domestic transactions

Domestic (in-house) transactions are only possible for positions which are not segregated.

| Description                      | Calculation method  | Rate in CHF | VAT   | Code |
|----------------------------------|---------------------|-------------|-------|------|
| Global Funds domestic settlement | per order processed | 0.55        | 0.00% | 2050 |

A cancellation request for a domestic (in-house) settlement transaction does not incur additional costs. However, confirmed cancellations will be charged like settled transactions.

### 3.3.2 International transactions

Flat rates apply for the international settlement of Global Fund transactions irrespective of the involved custodians per fund market.

| Description                           | Calculation method  | Rate in CHF | VAT   | Code |
|---------------------------------------|---------------------|-------------|-------|------|
| Global Funds international settlement | per order processed | see below   | 0.00% | 2550 |

| Fund classification | Market code | Number of transactions |     | Rate  |
|---------------------|-------------|------------------------|-----|-------|
|                     |             | From                   | To  |       |
| Mutual Fund STP     | XA          | 1                      | 99  | 15.00 |
|                     |             | 100                    | 499 | 10.00 |
|                     |             | 500                    | 999 | 8.00  |
|                     |             | 1,000                  |     | 6.00  |

| Fund classification | Market code | Rate in CHF |
|---------------------|-------------|-------------|
| Mutual Fund non-STP | XB          | 40.00       |
| US / CA Mutual Fund | XU          | 10.00       |
| Hedge Fund          | XH          | 350.00      |

**Note:** Fees will apply for ETFs as specified in sub-chapter 2.1 *International settlement transactions*.

### 3.3.3 Exception fees

| Description                                | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| Global Funds settlement exception handling | see below          | see below   | 0.00% | 2915 |

| Description   | Market code | Calculation method | Rate in CHF |
|---|-------------|--------------------|-------------|
| Transmission of instructions via channel other than SWIFT, WebMax or SIS Web Portal | All         | per instruction    | 100.00      |
| Cancellation Fees   | All         | per cancellation   | 50.00       |
| Special manual efforts  | All         | per hour           | 230.00      |

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**Note:** For ETFs, cancelled settlement transactions fees will apply as specified in sub-chapter 2.1 *International settlement transactions*.

### 3.3.4 Third-party fees

| Description                 | Calculation method | Rate in CHF    | VAT   | Code |
|-----------------------------|--------------------|----------------|-------|------|
| Global Funds 3rd-party fees | n.a.               | effective cost | 0.00% | 8400 |

The above fee code will be used for charging third-party fees on Global Fund trade executions and Global Fund settlements.

### 3.4 Safekeeping

The safekeeping fee is charged according to the monthly-average market value of the fund share balances based on a sliding scale. The average fee is then applied to the fund custody account held in the relevant fund category to determine the total safekeeping servicing fee (sliding scale). A minimum monthly fee is charged per ISIN/line.

| Description               | Calculation method   | Rate in BP p.a | VAT   | Code |
|---------------------------|----------------------|----------------|-------|------|
| Global Funds core custody | Assets under custody | see below      | 7.70% | 3020 |

| Fund classification         | Market code | AuC in CHF*                   | Rate in basis points (BP) p.a. (1 B.P. = 0.01%) | Minimum fee per ISIN/line/month in CHF |
|-----------------------------|-------------|-------------------------------|---|--|
| Mutual fund (STP & non-STP) | XA/XB       | ≤ 59,999,999                  | 1.10  | 2.50                                   |
|                             |             | 60,000,000 – 119,999,999      | 0.80  |  |
|                             |             | 120,000,000 – 599,999,999     | 0.60  |  |
|                             |             | 600,000,000 – 1,199,999,999   | 0.50  |  |
|                             |             | 1,200,000,000 – 3,599,999,999 | 0.45  |  |
| ≥ 3,600,000,000             | 0.40        |                               |   |  |
| US / CA Mutual Fund         | XU          | All                           | 3.60  | 2.50                                   |
| Hedge Fund                  | XH          | ≤ 59,999,999                  | 8.80  | 7.50                                   |
|                             |             | 60,000,000 – 119,999,999      | 8.45  |  |
|                             |             | 120,000,000 – 599,999,999     | 8.15  |  |
|                             |             | 600,000,000 – 1,199,999,999   | 7.90  |  |
|                             |             | 1,200,000,000 – 3,599,999,999 | 7.70  |  |
| ≥ 3,600,000,000             | 7.55        |                               |   |  |

\* When securities are classified with a non-fund-specific market code (e.g. ETFs), fees will apply per market as specified in sub-chapter 2.5 *Safe custody*. Custody-related third-party fees are charged in accordance with the fee codes specified in sub-chapter 2.11 *Third-party fees*.

Besides the safekeeping of securities, the rates above also cover the provision of standard corporate action information (mandatory/voluntary) and related bookings as well as reconciliations of balances with custodians and transfer agents.

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Fund Services are reported in the reports RPFE010 and RPFE011 as follows: All Swiss funds (incl. ETFs) under Domestic Custody; Mutual Funds and international ETFs under International Custody; Hedge Funds under Hedge Fund Services.

### 3.5 **Corporate actions**

SIX SIS differentiates between corporate actions without a choice (mandatory actions - M/A) and those with a choice (Voluntary Actions - V/A).

The general execution of corporate actions is included in the safekeeping service fee ("Global Funds core custody", code 3020).

Additional charges are only applied for late V/A instructions or changes to instructions after the prescribed deadline. Please refer to sub-chapter 2.7 *Corporate actions*. for further information.

#### 3.5.1 **Proxy services**

Please refer to sub-chapter 2.8 *General meetings and proxy voting* for further information.

#### 3.5.2 **Tax services**

Please refer to sub-chapter 2.8.2 *Taxes services* for further information.

### 4.0 **Triparty Collateral Services**

Kindly note that the features of the new triparty agent in conjunction with the collateral cockpit will only be available after the go-live of the new solution. Until this date, the current price list remains valid for Repo services administrated by the triparty agent.

#### 4.1 **Triparty Agent Collateral Cockpit**

Triparty Collateral Services comprise all Collateral and Securities Finance services offered by SIX SIS. The Triparty Agent (TPA) and Collateral Cockpit offer participants a new user experience. In addition to enhanced functions, participants enjoy full control and have an overview of their collateral. This allows them to determine for which purpose and how their securities are used as collateral.

In a first step, the Collateral Cockpit offers access to the Triparty Repo Service as well as to the SNB (liquidity-shortage financing facility).

##### 4.1.1 **TPA setup**

In the SIX SIS giro system (SECOM), the TPA has a special account operating setup. This setup allows the TPA to take responsibility for collateral management (automatic allocation) and transaction management on behalf of participants. Activity is driven, among other things, by the repo market, which is on the CO:RE platform.

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### 4.1.2 TPA contractual basis

The parties that participate in the various Triparty Collateral Services determine, on a contractual basis, how collateral and liens (e.g. regular rights of lien or transfers of title) are made available for use. The relevant contracts determine how collateral is transferred between the contractual parties upon opening / for the duration of the collateralization and how they are returned upon terminating the collateralization, e.g. when a transaction is closed. Examples are as follows:

- From the longbox of contractual party 1 to the longbox of contractual party 2
- From the longbox of contractual party 1 to the escrow account of contractual party 1
- From the longbox of contractual party 1 to the escrow account of contractual party 2

### 4.1.3 Longbox account

The longbox is used as the source account for the collateral to be provided. It is also used to receive collateral that is then to be reused. Custody fees are charged for positions in the longbox (in the same way as for ordinary securities accounts) – see sub-chapter 2.5 *Safe custody* (and Price list Domestic SIX SIS sub-chapter 2.5 *Safe custody*). Collateral transfers between the longbox and other SIX SIS custody accounts are free of charge.

For transactions with the SNB, the longbox is also used to fill the SNB escrow account (see sub-chapter 4.2.6 *SNB escrow account*) and to receive the returned securities positions.

### 4.1.4 Escrow account

Pledged collateral is blocked by the TPA as long as there is a corresponding liability in the escrow account. This account is used for collateral for which there is no right of reuse, for example. In addition, collateral is transferred into the escrow account as required (offsetting of collateral during the duration due to changes in the value of the available collateral).

Custody fees are charged for positions in the escrow account (in the same way as for ordinary securities accounts) – see sub-chapter 2.5 *Safe custody* (and Price list Domestic SIX SIS sub-chapter 2.5 *Safe custody*). Transfers between the escrow account and other SIX SIS custody accounts are free of charge.

## 4.2 Triparty Repo services

The TPA service for repo transactions comprises the following:

- a. Use of the user interfaces and their functionalities, in particular also the “TPA Collateral Cockpit”
- b. Settlement of transactions by means of a simultaneous exchange of cash against the initial collateral (opening and closure)

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- c. Administration of the exchanged positions, including margin calls and returns
- d. The use of longbox accounts and escrow accounts, including those used to access liquidity at the SNB
- e. the Securities Finance Transaction Regulation (SFTR) Reporting Service.

### 4.2.1 Creation of repo transactions by means of automatic allocation

Collateral is automatically allocated for repo transactions. The allocation algorithm is defined by the participant in the Collateral Cockpit and modified as necessary. Each allocation is only charged to the Collateral Provider for each initial collateral allocation.

| Designation              | Calculation method   | Rate in CHF | VAT   | Code |
|--------------------------|--|-------------|-------|------|
| Allcoation of collateral | for each successfully allocated securities position with the Collateral Provider | 3.50        | 7.70% | 4030 |

**Please note:** No fee is charged to the Collateral Taker for this service. For transaction repurchases, the identical securities are returned without any cost implications.

### 4.2.2 Transaction fee for repo orders – fixed term

A repo transaction comprises a cash leg and a collateral leg. Both legs are linked via a unique identification number. This link remains for the entire duration of a transaction. The transaction fee for repo orders – fixed term (overnight and longer) is charged each time a transaction is opened and closed for both trading parties.

| Designation              | Calculation method  | Rate in CHF | VAT   | Code |
|--------------------------|---|-------------|-------|------|
| Repo orders – fixed term | Repo order per trading party, upon each opening and closure | 3.50        | 0.00% | 4010 |

**Please note:** If transactions are affected by a corporate action, the collateral is automatically substituted free of charge. In addition, the TPA generates a special report for this purpose.

### 4.2.3 Transaction fee for repo intraday orders

An intraday repo usually takes place with the SNB as the counterparty and in CHF. However, it can also be concluded in another currency and with any counterparty required. The transaction fee is charged to the cash taker each time a transaction is opened or closed.

| Designation          | Calculation method                    | Rate in CHF | VAT   | Code |
|----------------------|---------------------------------------|-------------|-------|------|
| Repo intraday orders | Opening and closure at the cash taker | 5.00        | 0.00% | 4020 |

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### 4.2.4 Transaction fee for repo orders – open-ended

The administration of open-ended repos involves significant additional efforts, which is why a higher rate is applied.

| Designation              | Calculation method  | Rate in CHF | VAT   | Code |
|--------------------------|---|-------------|-------|------|
| Repo orders - open-ended | Repo order per trading party, upon each opening and closure | 25.00       | 7.70% | 4040 |

**Please note:** If transactions are affected by a corporate action, the collateral is automatically substituted free of charge. In addition, the TPA generates a special report for this purpose.

### 4.2.5 Repo administration fees

The repo administration fee is remuneration for the administration of the collateral positions which are linked in a repo transaction and the associated events. The repo administration fee is incurred by the collateral provider and collateral taker. The services are charged for each calendar day in accordance with the following sliding-scale pricing model; the market value of the collateral of the client group is used to calculate the fee and each level must be passed through.

| Designation         | Calculation method               | Rate in BP | VAT   | Code |
|---------------------|----------------------------------|------------|-------|------|
| Repo administration | daily market value of collateral | see below  | 7.70% | 4000 |

| Sliding-scale pricing model for repo administration (per calendar day) |                |                |            |
|--|----------------|----------------|------------|
| Levels   | Minimum in CHF | Maximum in CHF | Rate in BP |
| 1  | 0              | 1,999,999,999  | 0.50       |
| 2  | 2,000,000,000  | 4,999,999,999  | 0.25       |
| 3  | 5,000,000,000  |                | 0.15       |

The respective volume of the participant per calendar day is multiplied by the average price (per calendar day) as calculated above and is reported for each applicable calendar day (calendar day, volume and fee) together with the fee total per month. An RPFE050 (of all participants of a client group) is required to ensure transparency over the fees charged.

Irrespective of repo administration, custody fees are charged to the participant where the collateral is located in the account (for the duration / respective calendar days on the basis of the average positions) – see sub-chapter 2.5 *Safe custody* (and Price list Domestic SIX SIS sub-chapter 2.5 *Safe custody*).

### 4.2.6 SNB escrow account

The SNB escrow account is set up by SIX SIS for participants as soon as a liquidity-shortage financing limit has been granted by the SNB. All securities booked into this account are earmarked for a potential pledge.

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A monthly fixed fee is charged for each active "SNB escrow account".

| Designation                    | Calculation method               | Rate in CHF | VAT   | Code |
|--------------------------------|----------------------------------|-------------|-------|------|
| Repo custody cover account SNB | per SNB escrow account and month | 250.00      | 7.70% | 4050 |

This pledge in favor of the SNB occurs as soon as the reservation limit is activated. The cover provided by the regular liquidity-shortage financing limit is at least 110% (initial upload 112.5%) at all times. The TPA ensures that the securities booked into this account are only used for transactions with the SNB. In particular, this applies for intraday repos and special-rate repos as well as lombard loans over the reservation limit.

Custody fees are charged for positions in the SNB escrow account (in the same way as for ordinary securities accounts) – see sub-chapter 2.5 *Safe custody* (and Price list Domestic SIX SIS sub-chapter 2.5 *Safe custody*). Transfers between the SNB escrow account and other SIX SIS custody accounts are free of charge.

### 4.2.7 SFTR reporting

With the introduction of the Securities Finance Transaction Regulation (SFTR) of the European Union (Regulation (EU) No. 2015/2365), all users of securities financing transactions domiciled in the EU or the European Economic Area (banks, insurance undertakings, investment funds or “corporates” such as non-financial counterparties) have to report their activities to an officially admitted trade repository. The reporting obligations cover far-reaching information on the involved parties, trade details as well as the securities used and require the daily updating of securities valuations and reporting of life-cycle events of the transactions.

To support the participants in their reporting activities in a targeted manner, specific services are offered for repo transactions managed by SIX Repo.

#### UTI provision

A predominant attribute for the reporting is determining a “Unique Trade Identifier” (UTI). This UTI has to be generated and reported for each executed transaction. The UTI has to be globally unique.

As part of the SFTR services, the UTI gets generated and provided to all participants currently free of charge.

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### Data provision service

As part of this service offering, participants receive a “data file” with all reporting-relevant data, which they can integrate into their own internal reporting framework. Participants then send the reporting to a trade repository of their choice.

An annual fixed fee is charged for the data provision.

| Designation                  | Calculation method | Rate in CHF | VAT   | Code |
|------------------------------|--------------------|-------------|-------|------|
| Repo SFTR reporting services | annual             | 17,500.00   | 7.70% | 4360 |

### Delegated reporting service

In conjunction with the delegated reporting services, SIX SIS takes responsibility for reporting to the UnaVista trade repository. All required reporting activities are performed by SIX SIS in the name of the participant.

An annual fixed fee is charged for the service.

| Designation                  | Calculation method | Rate in CHF | VAT   | Code |
|------------------------------|--------------------|-------------|-------|------|
| Repo SFTR reporting services | annual             | 22,500.00   | 7.70% | 4360 |

### 4.3 TCM service

SIX SIS provides the Triparty Collateral Management (“TCM by SIX®”) service as part of its collateral services. With TCM, SIX SIS will assume responsibility for managing exposures and their collateralization. The pricing model contains the following components: exposure order instructions and modifications, a monthly fee per collateral pool account, and administration fees according to the collateral volume managed. The respective market value is used as the basis for the calculation.

#### 4.3.1 Exposure orders / modifications and collateral pool account

| Designation                   | Calculation method         | Rate in CHF | VAT   | Code |
|-------------------------------|----------------------------|-------------|-------|------|
| TCM exposure order            | per exposure instruction   | 3.00        | 7.70% | 4310 |
| TCM modify exposure order     | per exposure modification  | 0.10        | 7.70% | 4320 |
| TCM collateral pool (CP only) | per pool account per month | 100.00      | 7.70% | 4330 |

**Please note:** For securities remittances/withdrawals and safe custody, the normal transaction fees valid for the markets concerned apply.

#### 4.3.2 TCM administration standard service

SIX SIS constantly updates the value of the pledged collateral. The resulting administration fees are charged in each case to both sides (Collateral Provider and Collateral Taker). In each contract, it can be agreed that either the Collateral Provider or the Collateral Taker pays the fees incurred by both sides.

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In calculating the fees in accordance with the sliding-scale pricing model, the average monthly collateral volume on the part of the Collateral Provider / its client group and on the part of the Collateral Taker / its client group is taken into account. The two collateral volumes together form the sliding-scale pricing model volume.

| Designation        | Calculation method                | Rate in CHF | VAT   | Code |
|--------------------|-----------------------------------|-------------|-------|------|
| TCM administration | Collateral volume (monthly basis) | see below   | 7.70% | 4300 |

| Sliding-scale pricing model for TCM administration |                |                |            |
|--|----------------|----------------|------------|
| Levels   | Minimum in CHF | Maximum in CHF | Rate in BP |
| 1  | 0              | 749,999,999    | 0.80       |
| 2  | 750,000,000    | 1,499,999,999  | 0.60       |
| 3  | 1,500,000,000  | 2,499,999,999  | 0.40       |
| 4  | 2,500,000,000  |                | 0.30       |

Each level of the model must be passed through, i.e. the rate only applies to the volume at the respective level.

### 4.3.3 TCM administration for structured products

For structured products issued under TCM by SIX®, the issuer of the structured product provides collateral (by means of a pledge) to cover obligations towards investors in the event of the issuer becoming insolvent.

SIX SIS constantly updates the value of the issued products and the pledged collateral. The resulting administration fees impact both the side of the Collateral Provider and the side of the Collateral Taker. The fees for both sides are charged to the Collateral Provider in accordance with the following sliding-scale pricing model.

| Designation                            | Calculation method                 | Rate in CHF | VAT   | Code |
|--|------------------------------------|-------------|-------|------|
| TCM administration structured products | Collateral volumes (monthly basis) | see below   | 7.70% | 4301 |

| Sliding-scale pricing model for TCM administration for structured products |                |                |                       |
|--|----------------|----------------|-----------------------|
| Levels   | Minimum in CHF | Maximum in CHF | Rate in BP (per side) |
| 1  | 0              | 99,999,999     | 4.00                  |
| 2  | 100,000,000    | 199,999,999    | 3.50                  |
| 3  | 200,000,000    | 499,999,999    | 3.00                  |
| 4  | 500,000,000    | 999,999,999    | 2.50                  |
| 5  | 1,000,000,000  | 1,999,999,999  | 2.00                  |
| 6  | 2,000,000,000  |                | 1.50                  |

In calculating the fees, the average monthly collateral volume taking into account its client group is charged to the collateral provider in accordance with the sliding-scale pricing model. Each level of the model must be passed through, i.e. the rate only applies to the volume at the respective level.

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### 4.3.4 TCM issues of structured products

An exposure management fee is charged to the Collateral Provider each month for each issued product in accordance with the following sliding-scale pricing model.

| Designation  | Calculation method | Rate in CHF | VAT   | Code |
|--------------|--------------------|-------------|-------|------|
| TCM issuance | per product        | see below   | 0.00% | 4340 |

| Sliding-scale pricing model for TCM issuance |                         |                         |             |
|--|-------------------------|-------------------------|-------------|
| Levels                                       | Min. number of products | Max. number of products | Rate in CHF |
| 1  | 0                       | 179                     | 20.00       |
| 2  | 180                     | 499                     | 15.00       |
| 3  | 500                     | 999                     | 10.00       |
| 4  | 1,000                   | 1,499                   | 5.00        |
| 5  | 1,500                   | 1,999                   | 2.50        |
| 6  | 2,000                   |                         | 0.00        |

In calculating the fees in accordance with the sliding-scale pricing model, the monthly issue volume of structured products of the client group is taken into account. Each level of the sliding-scale pricing model must be passed through, i.e. the rate only applies to the volume at the respective level.

### 4.4 COSI service

Collateral-secured instruments (COSIs) can be listed and traded on SIX Swiss Exchange against the provision of collateral (hedging in the case of issuer insolvency). An administration fee is charged for open COSI positions as follows:

| Designation                          | Calculation method            | Rate in BP | VAT   | Code |
|--------------------------------------|-------------------------------|------------|-------|------|
| COSI loan admin collateralized ISINs | Market value on monthly basis | see below  | 7.70% | 4250 |

| Levels | Minimum in CHF | Maximum in CHF | Rate in BP |
|--------|----------------|----------------|------------|
| 1      | 0              | 249,999,999    | 15.00      |
| 2      | 250,000,000    | 999,999,999    | 9.00       |
| 3      | 1,000,000,000  | 2,999,999,999  | 5.00       |
| 4      | 3,000,000,000  |                | 4.00       |

Each level of the model must be passed through, i.e. the rate only applies to the volume at the respective level.

**Please note:** The TCM transaction fees apply for the COSI service (see sub-chapter 4.3.1 *Exposure orders / modifications and collateral pool account*)

### 4.5 Triparty SecLend service

The Triparty Securities Lending (SecLend) service essentially comprises three components: creating the SecLend transaction, settling the exchange agreed by the

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parties, and administering the exchanged positions. Settlement and administration costs are charged to participants as follows, while the creation of the SecLend transaction (either via GC-Select or as a manual post-trade allocation) do not incur separate costs.

### 4.5.1 Settlement fee

The settlement of SecLend loan settlements and collateral allocations are charged as follows:

| Designation                         | Calculation method   | Rate in CHF | VAT   | Code |
|-------------------------------------|--|-------------|-------|------|
| SecLend loan settlement             | per order and trading party, upon each opening and closure | 10.00       | 0.00% | 4210 |
| SecLend loan settlement (GC-select) | per collateral allocation                                  | 2.00        | 7.70% | 4220 |

### 4.5.2 Administration fee

The administration of SecLend loans is charged as follows:

| Designation                 | Calculation method                           | Rate in BP | VAT   | Code |
|-----------------------------|--|------------|-------|------|
| SecLend loan administration | Loan value of transactions per trading party | 0.50       | 7.70% | 4200 |

### 4.6 Securities lending and borrowing (SLB)

Securities lending and borrowing (SLB) is not a Triparty Collateral Service. With SLB, the client can both minimize the number of settlement fails as a borrower and generate additional income as a lender. This fail-driven SLB is a fully integrated support function that increases the efficiency of SIX SIS's settlement services. Participants can participate in SLB by automatically or manually placing instructions as a lender or a borrower.

SIX SIS retains a margin between the lending fee and borrowing fee. In addition, the borrower is charged a minimum fee per day. If the borrower only uses the service on an intraday basis, this fee is not incurred.

| Designation             | Calculation method  | Rate in CHF                              | VAT   | Code |
|-------------------------|---------------------|--|-------|------|
| SLB lender compensation | Value share         | see below                                | 0.00% | 4100 |
| SLB borrower fee        | Shares: value share | see below, min. CHF 15.00 per day & ISIN | 0.00% | 4110 |
|                         | Bonds: value share  | see below, min. CHF 7.50 per day & ISIN  | 0.00% | 4110 |

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| Lending and borrowing rates, per exchange (indicative) |                          |                            |
|--|--------------------------|----------------------------|
| Designation  | Lending rate (in % p.a.) | Borrowing rate (in % p.a.) |
| SMI  | 0.400                    | 0.750                      |
| SLI  | 0.750                    | 1.500                      |
| SPI excl. SLI  | 1.000                    | 2.000                      |
| SIX Swiss Exchange-traded ETFs                         | 1.000                    | 2.000                      |
| Swiss All Share + Investment Index                     | 1.000                    | 2.000                      |
| Swiss Bonds  | 0.400                    | 0.650                      |
| Swiss Equities   | 0.750                    | 1.500                      |

SIX SIS may adjust the lending and borrowing fees at any time and with immediate effect in accordance with the prevailing market conditions. The current rates for securities lending & borrowing are available from the Triparty Repo & Securities Lending and Borrowing-Desk of SIX SIS (see: [www.six-group.com](http://www.six-group.com) > Login > Securites Services Private > Contacts > SIX SIS > List of contacts of SIX SIS).

### 5.0 Issuance services

#### 5.1 Services for main paying agents (MPA)

This sub-chapter includes services that are normally charged to participants in their role as main paying agent, issuer or lead manager.

#### 5.2 New issues - IBT - uncertificated securities

For issues with uncertificated securities that are registered via CONNEXOR® Distribution (IBT - Internet Based Terms and IBL - Internet Based Listing), a volume-based sliding scale fee containing separate steps applies. The fee depends on the cumulative annual volume of such new issues for a client group in accordance with the table below.

| Designation                             | Calculation method | Rate in CHF | VAT   | Code |
|---|--------------------|-------------|-------|------|
| New Issue - IBT - book-entry securities | per new issue      | see below   | 0.00% | 3530 |

| Pricing model for new issues - IBT - uncertificated securities |                          |        |                           |
|--|--------------------------|--------|---------------------------|
| Level  | Volume per calendar year |        | Rate in CHF per new issue |
| 1  | 1                        | 10,000 | 12.00                     |
| 2  | 10,001                   | 20,000 | 10.00                     |
| 3  | 20,001                   | 30,000 | 8.00                      |
| 4  | 30,001                   | 50,000 | 7.00                      |
| 5  | > 50,001                 |        | 6.00                      |

#### Example: New issues - IBT - uncertificated securities (cumulative annual volume):

| Month   | Number of new issues | Rate in CHF per new issue | Total per month in CHF |
|---------|----------------------|---------------------------|------------------------|
| January | 5,000                | 5,000 x 12.00             | 60,000.00              |

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| Month    | Number of new issues | Rate in CHF per new issue     | Total per month in CHF |
|----------|----------------------|-------------------------------|------------------------|
| February | 6,000                | 5,000 x 12.00 + 1,000 x 10.00 | 70,000.00              |
| March    | 3,000                | 3,000 x 10.00                 | 30,000.00              |

### 6.0 Technical connectivity

This section includes technical connectivity services offered by SIX SIS. Each technical connectivity service is charged based on the following price models.

#### 6.1 SWS

The set-up, operation and maintenance of SIX SIS Web Services (SWS) SECOM is free of charge. For SWS SIC/euroSIC, a monthly fee is charged as described below:

| Designation                    | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------------|--------------------|-------------|-------|------|
| Miscellaneous/ Special efforts | see below          | see below   | 7.70% | 5500 |

| Description                     | Calculation method  | Rate in CHF |
|---------------------------------|---|-------------|
| SWS SIC/euroSIC maintenance fee | Monthly flat fee for maintenance of SIC4 standard including implementation. This fee is only charged to participants who have SIC access via SWS. | 400.00      |

**Please note:** For the usage of SWS, a security token is required for each user.

#### Authentication using a token

For the hardware solution from RSA (token), a monthly fee is charged as described below. There is no charge for using the mobile software solution from Futurae.

| Designation                 | Calculation method | Rate in CHF | VAT   | Code |
|-----------------------------|--------------------|-------------|-------|------|
| Hardware solution (RSA)     | per month and user | 15.00       | 7.70% | 5240 |
| Software solution (Futurae) |                    | 0.00        |       |      |

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### 6.2 SWIFT

A fee is charged for each outgoing message: Depending on the outgoing message volume per month, the price applicable to the respective volume level for the given month will be used.

| Designation             | Calculation method | Rate in CHF | VAT   | Code |
|-------------------------|--------------------|-------------|-------|------|
| SWIFT outgoing messages | per message        | see below   | 7.70% | 5250 |

| SWIFT outgoing messages |                             |         |                                       |
|-------------------------|-----------------------------|---------|---------------------------------------|
| Levels                  | Outgoing messages per month |         | Rate in CHF for each outgoing message |
| 1                       | 1                           | 299,999 | 0.20                                  |
| 2                       | 300,000                     | 399,999 | 0.16                                  |
| 3                       | 400,000                     | 499,999 | 0.12                                  |
| 4                       | 500,000                     | 599,999 | 0.08                                  |
| 5                       | > 600,000                   |         | 0.04                                  |

### 7.0 Client Services

#### 7.1 Training & coaching

| Designation  | Calculation method | Rate in CHF | VAT   | Code |
|--|--------------------|-------------|-------|------|
| Training & coaching (training on services provided by SIX SIS Ltd) | per person/day     | see below   | 7.70% | 5400 |

| Location                    | Client segment        | Calculation method    | Rate in CHF    |
|-----------------------------|-----------------------|-----------------------|----------------|
| In SIX SIS's training rooms | new participants      | for 4 participants    | free of charge |
|                             | existing participants | per person, ½ day     | 500.00         |
|                             |                       | per person, 1 day     | 500.00         |
| On location at client       | new participants      | per day (Switzerland) | 1,000.00       |
|                             |                       | per day (abroad)      | 2,200.00       |
|                             |                       | additional day        | 800.00         |
|                             | existing participants | per ½ day             | 2,000.00       |
|                             |                       | per day               | 3,000.00       |

**Please note:** Any third-party fees for travel expenses are charged in addition ("Miscellaneous 3rd-party fees", code 8550). For accommodation, meals and transport, the flat rates are generally applied. If several client visits can be combined, lower flat rates will be applicable.

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## Appendix I – Market and market code

| Markt               | Marktcode |
|---------------------|-----------|
| Anguilla            | AI        |
| Antigua and Barbuda | AG        |
| Argentina           | AR        |
| Australia           | AU        |
| Austria             | AT        |
| Bahamas             | BS        |
| Barbados            | BB        |
| Belgium             | BE        |
| Belize              | BZ        |
| Bermuda             | BM        |
| Botswana            | BW        |
| Brazil              | BR        |
| Bulgaria            | BG        |
| Cameroon            | CM        |
| Canada              | CA        |
| Cayman Islands      | KY        |
| Chile               | CL        |
| China               | CN        |
| Cook Islands        | CK        |
| Croatia             | HR        |
| Cuba                | CU        |
| Curaçao             | CW        |
| Cyprus              | CY        |
| Czech Republic      | CZ        |
| Denmark             | DK        |
| Estonia             | EE        |
| Falkland Islands    | FK        |
| Faroe Islands       | FO        |
| Finland             | FI        |
| France              | FR        |
| Gabon               | GA        |
| Germany             | DE        |
| Gibraltar           | GI        |
| Greece              | GR        |
| Guernsey            | GG        |
| Hong Kong           | HK        |
| Hungary             | HU        |
| Iceland             | IS        |
| India               | IN        |
| Indonesia           | ID        |

| Markt                  | Marktcode |
|------------------------|-----------|
| Jersey                 | JE        |
| Kazakhstan             | KZ        |
| Latvia                 | LV        |
| Liberia                | LR        |
| Lithuania              | LT        |
| Luxembourg             | LU        |
| Malaysia               | MY        |
| Malta                  | MT        |
| Marshall Islands       | MH        |
| Mexico                 | MX        |
| Monaco                 | MC        |
| Morocco                | MA        |
| Netherlands            | NL        |
| Netherlands Antilles   | AN        |
| New Zealand            | NZ        |
| Nigeria                | NG        |
| Norway                 | NO        |
| Panama                 | PA        |
| Papua New G.           | PG        |
| Peru                   | PE        |
| Philippines            | PH        |
| Poland                 | PL        |
| Portugal               | PT        |
| Qatar                  | QA        |
| Romania                | RO        |
| Russia                 | RU        |
| Singapore              | SG        |
| Slovakia               | SK        |
| Slovenia               | SI        |
| South Africa           | ZA        |
| South Korea            | KR        |
| Spain                  | ES        |
| Sweden                 | SE        |
| Taiwan                 | TW        |
| Thailand               | TH        |
| Turkey                 | TR        |
| Turks & Caicos Islands | TC        |
| Ukraine                | UA        |
| United Arab Emirates   | AE        |
| UK                     | GB        |

## Price list SIX SIS International Services

Valid as of 1 July 2021

| Markt       | Marktcode |
|-------------|-----------|
| Ireland     | IE        |
| Isle of Man | IM        |
| Israel      | IL        |
| Italy       | IT        |
| Jamaica     | JM        |
| Japan       | JP        |

| Markt               | Marktcode |
|---------------------|-----------|
| USA                 | US        |
| Virgin Islands      | VG        |
| Virgin Islands (US) | VI        |
| Zambia              | ZM        |
| Zimbabwe            | ZW        |
|                     |           |

# Price list SIX SIS International Services

Valid as of 1 July 2021

## Appendix II – Banking services (same as domestic services price lists)

### 1.0 Banking services

#### 1.1 Forex and banking

At SIX SIS, forex transactions may be settled free of charge in all currencies supported by SIX SIS. Capital repayments and cancellations of transfers are charged to participants as follows:

| Designation                          | Currency | Calculation method | Rate in CHF | VAT   | Code |
|--------------------------------------|----------|--------------------|-------------|-------|------|
| Withdrawal of funds                  | XAU *    | per instruction    | 36.00       | 0.00% | 5000 |
|                                      | Other    | per instruction    | 10.00       |       |      |
| Cancellation of money transfer order | All      | per instruction    | 150.00      | 0.00% | 5010 |

\* For gold (XAU), an account management fee of 55 BP p.a. is also charged.

#### 1.2 Risk management

| Designation                  | Calculation method | Rate in BP p.m. | VAT   | Code |
|------------------------------|--------------------|-----------------|-------|------|
| SIX SIS SIC Payment Services | Limit volumes      | 1.0             | 0.00% | 5040 |

| Designation          | Calculation method | Rate in CHF | VAT   | Code |
|----------------------|--------------------|-------------|-------|------|
| ABP Limit monitoring | per ABP*           | 250.00      | 7.70% | 5030 |

\*Assigned Business Partner

| Designation   | Calculation method                   | Rate in CHF | VAT   | Code |
|---|--------------------------------------|-------------|-------|------|
| Risk management - Miscellaneous and special efforts | n.a.                                 | at cost     | 7.70% | 5050 |
|   | Change instruction on processing day | 100.00      |       |      |

#### Credit line change with a correspondent bank solution

Credit lines can be changed free of charge with a correspondent bank solution, provided that the change is instructed on the previous day. Change instructions on the processing day are charged via the fee code "Risk Management - Miscellaneous and special efforts" (code 5050).

In this context, SIX SIS Ltd draws the participant's attention to **articles 9a, 27 c and f** of the General Terms and Conditions of SIX SIS Ltd stipulating that the participant is responsible for compliance with all applicable laws (in particular domestic and foreign tax, foreign exchange and stock market regulations as well as with company law and articles of association) with respect to the securities held in custody or booked for the participant.

In this context, SIX x-clear Ltd draws the Members' attention to **clause 7.1 and chapter 16.0** (liability) of the Rulebook of SIX x-clear Ltd stipulating that the Member is responsible for compliance with the applicable laws (in particular domestic and foreign tax, foreign exchange and stock market regulations as well as with company law and articles of association) with respect to the Clearing services obtained from SIX x-clear Ltd.

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