**Insolvent JSC “PNB Banka” service fees**

*Explanation: Residents of the Republic of Latvia (hereinafter – LR) — sole proprietors, self-employed people, individual merchants, establishments, societies and other similar entities, as well as municipal and state-owned bodies and institutions are subject to rates applied to legal persons, residents of the LR.*

*Non-financial service fees, not covered in this document, are applied as agreed.*

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# **Securities and financial instruments accounts**

| **Position** | **Rates** |
| --- | --- |
| Financial Instruments transfer from insolvent “AS “PNB Banka””:- Financial Instruments, registreted NASDAQ CSD SE- other`s Financial Instruments | EUR 15*The rate**for natural and legal persons is not changed*1% of market value (min. EUR 100)*The rate**will come into force on 19.05.2020 for natural persons**The rate**will come into force on 01.04.2020 for legal persons*  |
| Foreign issuer`s Financial Instruments custody [[1]](#footnote-1) | 0.02% *of balance value at the end of month (min. EUR 1) per month**The rate for natural and legal persons is not changed* |
| Custody for bonds, if the issuer thereof is in a state of bankruptcy (defaulted) | 0.005% *of face value at the end of month (min. EUR 15) per each ISIN code per month**The rate for natural and legal persons is not changed* |
| LR issuer`s Financial Instruments custody: | *-* |
| * shares
 | EUR 2 + 0.008% *of balance value at the end of month per month**The rate for natural and legal persons is not changed* |
| * government’s debentures
 | EUR 2 + 0.002% *of balance value at the end of month per month**The rate for natural and legal persons is not changed* |
| * debentures of other issuers
 | EUR 2 + 0.005% *of balance value at the end of month per month**The rate for natural and legal persons is not changed*  |
| Account statement in Internetbank | free of charge*The rate for natural and legal persons is not changed*  |
| Transaction confirmation in Internetbank | free of charge*The rate for natural and legal persons is not changed* |
| Cash off-balance account statement (account for receiving coupons, dividends, and other funds based on corporate events) | free of charge*The rate for natural and legal persons is not changed* |
| Blocking of securities for shareholders meeting (foreign issuers) | EUR 10 *The rate for natural and legal persons is not changed* |
| Participation in corporate actions (conversion of bonds/stock rights and other) | EUR 50 *The rate for natural and legal persons is not changed* |
| Transactions of coupon payments, securities buybacks, securities redemptions [[2]](#footnote-2) | EUR 25 *The rate for natural and legal persons is not changed* |
| Operations with US Registered Bonds:* submission and review of W-8BEN, W-8BEN-E
* coupon payment
 | EUR 100 *The rate for natural and legal persons is not changed* EUR 150 *The rate for natural and legal persons is not changed* |
| Postage of documents  | actual costs*The rate for natural and legal persons is not changed* |
| Payment from customer`s cash off-balance account (account for receiving coupons, dividends, and other funds based on corporate events) | *EUR 10 + actual costs**The rate**will come into force on 19.05.2020 for natural persons**The rate**will come into force on 01.04.2020 for legal persons* |
| Preparation of non-standard documents at client’s request | EUR 125 *including VAT,* *per document**The rate**will come into force on 19.05.2020 for natural persons**The rate**will come into force on 01.04.2020 for legal persons* |

# **Forced sale of financial instruments**

| **Equities** |  |
| --- | --- |
| **Exchange/country** | **Rates** |
| Moscow Exchange/Russia [[3]](#footnote-3) | 0.20% *of deal amount (****min. fee per order*** *RUB 750)**The rate for natural and legal persons is not changed* |
| RTS/Russia 3 | 0.30% *of deal amount (****min. fee per order*** *USD 50)**The rate for natural and legal persons is not changed* |
| LSE IOB/UK | 0.30% *of deal amount (****min. fee per order*** *USD 35)**The rate for natural and legal persons is not changed* |
| Xetra/Germany [[4]](#footnote-4)Euronext/France 6Nasdaq OMX/Finland | 0.30% *of deal amount (****min. fee per order*** *EUR 25)**The rate for natural and legal persons is not changed* |
| Nasdaq OMX Riga | 0.35% *of deal amount (****min. fee per order*** *EUR 5.70)**The rate for natural and legal persons is not changed* |
| Outright transaction on Nasdaq OMX Riga | 0.20% *of deal amount (****min. fee per order*** *EUR 5.70)**The rate for natural and legal persons is not changed* |
| ASX/Australia | 0.35% *of deal amount (min. fee per order AUD 45)**The rate for natural and legal persons is not changed* |
| Toronto/Canada | 0.40% *of deal amount (min. fee per order CAD 40)**The rate for natural and legal persons is not changed* |
| NYSE, Nasdaq/USA [[5]](#footnote-5) | 0.025 USD *per share (min. fee per order USD 35)**The rate for natural and legal persons is not changed* |

| **Bonds [[6]](#footnote-6)** |  |
| --- | --- |
| **Position** | **Rates** |
| Foreign sovereign bondsForeign corporate bonds | 0.1% *of deal amount (min.* ***fee per order*** *USD 40 /EUR 35/CHF 40)**The rate for natural and legal persons is not changed* |
| Russian Eurobonds | 0.1% *of deal amount (min.* ***fee per order*** *USD 40)**The rate for natural and legal persons is not changed* |
| Russian corporate bonds, denominated in rubles | 0.20% *of deal amount (min.* ***fee per order*** *RUB 1400)**The rate for natural and legal persons is not changed* |
| Latvian bonds | 0.10% *of deal amount (min.* ***fee per order*** *EUR 10)**The rate for natural and legal persons is not changed* |

# **Other services**

| **Position** | **Rates** |
| --- | --- |
| Outgoing payment (including for refund of erroneously transferred or overpaid amount after discharge of all liabilities) | actual costs, *min. EUR 0.61* *The rate**will come into force on 19.03.2020 for private and legal persons* |

1. *Comission for securities, if the issuer thereof is in a state of bankruptcy (defaulted), is withheld depending on the actual Bank’s costs.* [↑](#footnote-ref-1)
2. *Commission is not applicable to Russian Ruble-denominated bonds, which are traded on the MOEX exchange.* [↑](#footnote-ref-2)
3. *Indicated commissions do not include Stock Exchange and other fees (commissions) occurred making forced sale of financial instruments; these commissions are paid by the client separately.* [↑](#footnote-ref-3)
4. *Indicated commissions do not include French FTT (Financial Transaction Tax) in the amount of 0.2% of the transaction value. These taxes apply only to purchase of shares.* [↑](#footnote-ref-4)
5. *Third party commissions, as well as the French FTT (Financial Transaction Tax) on ADR (American Depositary Receipts) security purchases (0.2% from purchase value), are paid by the client separately.* [↑](#footnote-ref-5)
6. *The aforementioned fees do not include DVP, stock exchange and other commissions that occurred when executing clients’ orders; these commissions are paid by the client separately.* [↑](#footnote-ref-6)