

AIX Registrar Fee Schedule

July 2023

(effective from July 1, 2023)

Contents

General	<u>3</u>
Fees for Issuers	<u>3</u>
General Services fees	<u>3</u>
Security Interest fee	<u>4</u>
Reporting fees	<u>4</u>
Fees for Investors	<u>4</u>
General Services fees	<u>4</u>
Settlement Transaction fee	<u>4</u>
Security Interest fee	<u>5</u>
Reporting fees.....	<u>5</u>
Interests payable by the Clients	<u>5</u>

General

- *The referenced time and periods of time, timing for billing shall be calculated according to the local time of Astana;*
- *Invoices for Issuers are issued on an annual basis;*
- *Invoices for Investors are issued on an annual basis;*
- *Invoices for the services provided are issued in USD to non-residents of the Republic of Kazakhstan;*
- *Invoices for the services provided are issued in KZT to residents of the Republic of Kazakhstan. Fee amount is converted to KZT at the current rate of the USD to KZT established by the National Bank of the Republic of Kazakhstan on the day of invoice for payment of services or date of service provision in the act of acceptance, whichever is earlier;*
- *In case AIX Registrar provides services for a relevant period in amount less than USD 15, the invoices for those services will be issued in the next consecutive period when the amount exceeded USD 15;*
- *AIX Registrar may pass through to Clients for reimbursement any other third-party costs it may incur;*
- *Amounts due shall be paid within 30 calendar days from the date of invoicing;*
- *Amounts do not include VAT or any other taxes;*
- *For clients (issuers and investors), which entered into relationship with AIX Registrar before 01.07.2023, this **AIX Registrar Fee Schedule** shall apply as of 01.01.2024;*
- *For clients (issuers and investors), which enter into relationship with AIX Registrar on or after 01.07.2023, this **AIX Registrar Fee Schedule** shall apply as of **01.07.2023**;*
- *If an issuer becomes a client of AIX Registrar after 1 January of a respective financial year, then the annual fees shall be prorated for the actual number of full months of the service.*

Fees for Issuers

Registry Maintenance fee

1. Equity Issuers admitted to the AIX Official List (per one ISIN)	
Initial set-up fee (one-off)	USD 25,000
Annual maintenance fee	USD 150,000
2. Debt Issuers admitted to the AIX Official List (per one ISIN)	

Initial set-up fee (one-off)	USD 250
Annual maintenance fee	USD 250 up to a maximum of 100 holders; USD 500 up to maximum of 500 holders; USD 750 up to maximum of 1000 holders; An additional USD 5 for each increment of up to 50 holders in excess of 1000 holders.
3. Issuers of securities not admitted to the AIX Official List (per one ISIN)	
Initial set-up fee (one-off)	USD 2500
Annual maintenance fee	USD 250 up to a maximum of 100 holders; USD 500 up to maximum of 300 holders; USD 750 up to maximum of 500 holders; An additional USD 10 for each increment of up to 50 holders in excess of 500 holders.
4. For All Issuers	
Routine dealings with probate, powers of attorney, changes of address in similar documents and request of appropriate customer Due Diligence	Included in Annual maintenance fee for Equity Issuers admitted to the AIX Official List, and Included in Annual maintenance fee up to a maximum of 5 requests – for other Issuers. USD 5 per each additional request – for other Issuers.
Holding and destroying of records and documents	Included in the Annual maintenance fee.
Providing telephone and email support	Included in the Annual maintenance fee.
Access to the Registry Portal	Included in the Annual maintenance fee for Equity Issuers admitted to the AIX Official List, and USD 10,000 per annum for other Issuers.

Security Interest fee

Securities type:	Fee (per Settled Instruction)
Debentures and any other Securities based on Debentures only or representing debt	USD 5

Shares, ETFs, funds and any other non-debt Securities	USD 7
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Corporate Action Fees

Corporate Action Processing	USD 5 per holder in the Registry with a minimum of USD 10,000 and a maximum of USD 100,000.
Proxy Voting Fee	USD 5,000 per event

Reporting Services fee

Securities holders' report	USD 1.5 for maximum 200 holders. An additional USD 0.5 for each increment of up to 50 holders.
Non-standard report	USD 2.5
Standards online reports via Registry Portal	Included in the Access to the Registry Portal fee

Fees for Investors

General Services fee

Due Diligence fee	USD 10 for individuals USD 50 for legal entities For individuals and legal entities holding securities in issuers admitted to the AIX Official List, this cost is assumed by such issuer and is included in their annual maintenance fee
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Security Interest fee

Securities type:	Fee (per Settled Instruction)
Debentures and any other Securities based on Debentures only or representing debt	USD 2.5 for individuals USD 5 for legal entities
Shares, ETFs, funds and any other non-debt Securities	USD 3.5 for individuals USD 7 for legal entities
The fee is charged from each Investor taking part in the respective Security Interest Transaction.	

Reporting Services fee

Online reports (securities movements and statement of holdings) via Registry Portal or Tabys	Available online without charge (in case an Issuer of respective Securities has subscribed for the Access to the Registry Portal; and/or individuals use Tabys)
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Access to the Registry Portal

For individuals and legal entities	Included in the Access to the Registry Portal fee paid by Issuer of respective Securities for the benefit of holders of its Securities (in case an Issuer of respective Securities has subscribed for the Access to the Registry Portal).
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Interests payable by the Client for late Payment (Issue or Investor)

Fees components:	Fees:	Comments:
Failure to make a payment of any fees due and payable to AIX Registrar on or before the due date	Overdue interest is equal to the official refinancing rate of the National Bank of Kazakhstan.	Applies at AIX Registrar's discretion to the overdue sum from the due date until payment of overdue sum. The interest will accrue each day.