



VIII. SECURITIES AND CUSTODY

	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
47. TRADES AND OPERATIONS WITH SECURITIES		
47.1. Trades with securities registered in Central Depository at market: regulated market BSE-Sofia (BSE and BaSE); SME Growth Market BEAM; and over-the-counter		
47.1.1. Execution of shares /rights/compensatory instruments orders		
47.1.1.1. Acceptance of orders fee	3 BGN	6 BGN
47.1.1.2. Commission for execution of trades for traded value:		
47.1.1.2.1. Up to 10 000 BGN	1.50%, min. 20 BGN	1.80%, min. 25 BGN
47.1.1.2.2. From 10 000.01 BGN to 100 000 BGN	1 %	1.40 %
47.1.1.2.3. From 100 000.01 BGN to 200 000 BGN	0.70%	0.90%
47.1.1.2.4. Above 200 000.01 BGN	By arrangement	
47.1.2. Execution of bonds orders on regulated market BSE:		
47.1.2.1. Acceptance of orders fee	3 BGN	6 BGN
47.1.2.2. Commission for execution of trades for traded value:		
47.1.2.2.1. Up to BGN 75 000	15 BGN	20 BGN
47.1.2.2.2. From BGN 75 000.01 to BGN 200 000	0.15 %	0.20 %
47.1.2.2.3. Above BGN 200 000.01	0.10 %	0.15 %

	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
47.1.3. Checking the balance of an account with the Central Depository		10 BGN
47.1.4. Request for transferring res/rights/compensatory instruments to another investment intermediary or to the register of the Central Depository AD		20 BGN
47.1.5. Request for issuing a depository receipt		10 BGN
47.2. Trades with Government bonds registered at Bulgarian National Bank		
47.2.1. Participation at primary auctions		
47.2.1.1. Acceptance of orders fee	3 BGN	6 BGN
47.2.1.2. Commission for execution of trades:		
For approved bids (<i>Commission is percentage of the notional value of the bonds</i>)		
47.2.1.2.1. <i>percentage of the notional value of the bonds</i>		0.10 %, min. 15 BGN
47.2.1.2.2. For not approved bids		15 BGN
47.2.2. Secondary trading		
47.2.2.1. Acceptance of orders fee	3 BGN	6 BGN
Commission for trade with Government		
47.2.2.2. bonds where UCB is party to the transaction, not commissioner		Free of charge



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	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
47.2.2.3. Commission for trade with Government bonds with the intermediation of the Bank (commissioner) as percentage of the traded volume	0.10 %, min. 20 BGN	
47.3. For registration of bonds in case of:		
47.3.1. Transfer of Government bonds to/from the register of the Bank to from/to the register of another ESROT member	20 BGN	
47.3.2. Transfer of Government bonds into the account of the Ministry of Finance for privatisation deals	20 BGN	
47.3.3. Transfer of Government bonds to another primary dealer	20 BGN	
47.3.4. Blocking and unblocking of Governments bonds in the bank's register (<i>percentage of the notional value of the bonds</i>)	0.03 %	
47.4. Collection of principal for Bulgarian Government bonds at Bulgarian National Bank at maturity (<i>percentage of the notional value of the bonds</i>)	0.03 %	
47.5. Excerpt from the bank's register	20 BGN	

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	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
47.6. Trades with securities registered at FOREIGN DEPOSITORIES		
47.6.1. Acceptance of orders fee	2 EUR	3 EUR
47.6.2. Commission for execution of trades with shares at the corresponding regulated market (<i>Commissions are percentage of the value of the trade</i>) :		
Austria	0.40 %, min. 55 EUR	0.50 % min. 55 EUR
Belgium	0.40 %, min. 50 EUR	0.50 %, min. 50 EUR
Denmark	0.40 %, min. 50 EUR	0.50 %, min. 50.00 EUR
Finland	0.40 %, min. 50 EUR	0.50 %, min. 50 EUR
France	0.40 %, min. 40 EUR	0.50 %, min. 40 EUR
Germany	0.40 %, min. 40 EUR	0.50 %, min. 40 EUR
Italy	0.40 %, min. 50 EUR	0.50 %, min. 50 EUR



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	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
Luxembourg	0.40 %, min. 45 EUR	0.50 %, min. 45 EUR
Netherlands	0.40 %, min. 40 EUR	0.50 %, min. 40 EUR
Norway	0.40 %, min. 65 EUR	0.50 %, min. 65 EUR
Portugal	0.40 %, min. 55 EUR	0.50 %, min. 55 EUR
Spain	0.40 %, min. 55 EUR	0.50 %, min. 55 EUR
Sweden	0.40 %, min. 65 EUR	0.50 %, min. 65 EUR
Switzerland	0.40 %, min. 40 EUR	0.50 %, min. 40 EUR
United Kingdom <i>(note: an additional stamp duty applies on all purchases done in GBP)</i>	0.40 %, min. 50 GBP/ 50 USD	0.50 %, min. 50 GBP/ 50 USD
USA	0.40 %, min. 50 USD	0.50 %, min. 50 USD
Canada	0.40 %, min. 70 CAD	0.50 %, min. 70 CAD
Australia	0.70 %, min. 125 AUD	0.75 %, min. 125 AUD

	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
Other regulated markets		By arrangement
47.6.3. Execution of orders for bonds, on regulated market, as follows <i>(Commissions are percentage of the value of the trade)</i>		
Germany, Italy		0.50 %, min. 40 EUR
47.6.4. Commission for over-the-counter trades with bonds where UniCredit Bulbank does not act in capacity of commissioner, but it is party to the trade		Free of charged
47.6.5. Request for transferring securities to another investment intermediary through foreign depositories		10 EUR
47.7. Other Fees And Commissions		
47.7.1. Subscription at Private Offerings through another Investment Intermediary		20 BGN
47.7.2. Quoted on an annual basis, while the payment liability will be calculated and collected on a monthly basis on the grounds of the market value of the financial instruments, which are kept with UniCredit Bulbank AD, calculated as of the last day of the month. In case of lack of market value and (or it is 0 the percentage rate is applied on the face value)		



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	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
* Maintenance of securities account for securities 47.7.2.1. registered at Central Depository AD and BNB (for non-professional investor)	0.05 %	min. 3 BGN
* Maintenance of securities account for securities 47.7.2.2. registered at Central Depository AD and BNB (for professional investor)	0.05 %	min. 3 BGN
* Maintenance of securities account for securities registered at an international depository 47.7.2.3. (for non-professional investor)	0.15 %	min. 3 BGN
* Maintenance of securities account for securities 47.7.2.4 registered at an international depository (for professional investor)	0.10 %	min. 3 BGN

48. REGISTRATION AGENT SERVICES		
	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
48.1. Request for issuing a certificate of portfolio status		
48.1.1. Fee for the financial or compensatory instruments on personal account		140 BGN
48.1.2. Fee for the financial or compensatory instruments with data of the Central Depository member where kept (extended portfolio)		160 BGN
48.2. Issuance of certificate for blocked in favor of the Ministry of Finance compensatory instruments in accordance with RNRPA (subject to VAT)		40 BGN
48.3. Transfer of securities and compensatory instruments in case of pre-negotiated deals without cash flow movements (delivery free of payment):		
48.3.1. Acceptance of orders fee		6 BGN



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48.3.2. Commission for execution of trades for traded value:		
48.3.2.1. Up to 30 000 BGN	0.80 %, min. 60 BGN	
48.3.2.2. From 30 000.01 BGN to 100 000 BGN	0.65 %	
48.3.2.3 From 100 000.01 BGN to 200 000 BGN	0.50 %	
48.3.2.4. Above 200 000.01 BGN	By arrangement	
48.4. Transfer of securities and compensatory instruments in case of pre-negotiated deals with cash flow movements (delivery versus payment):		
48.4.1. Acceptance of orders fee	6 BGN	
48.4.2. Commission for execution of trades for traded value:		
48.4.2.1. Up to 30 000 BGN	1 %, min. 60 BGN	
48.4.2.2. From 30 000.01 BGN to 100 000 BGN	0.85 %	
48.4.2.3. From 100 000.01 BGN to 200 000 BGN	0.60 %	
48.4.2.4. Above 200 000.01 BGN	By arrangement	
48.5. Transfer of securities and compensatory instruments in case of endowment	60 BGN	
48.6. Request for changes in personal data	20 BGN	
48.7. Request for issuing a depository receipt duplicate	15 BGN	

49. CUSTODIAL AND DEPOSITORY SERVICES (VAT taxable)

Applicable charges as regards shareholders in companies which have their registered office in a Member State and the shares of which are admitted to trading on a regulated market situated or operating within a Member State

	ELECTRONIC CHANNEL	ON PAPER/ IN BANK OFFICE
49.1.1. Disclosure of information regarding shareholder identity (Shareholder identification)		By arrangement
49.1.2. Transmission of notices (Notifications) for general meetings		By arrangement
49.1.3. Facilitation of the exercise of shareholder rights to participate (Voting/Proxy Voting) in general meetings		By arrangement
49.1.4. Transmission of information (Notifications) for corporate events other than general meetings		By arrangement
49.1.5. Income collection, including dividends		By arrangement
49.1.6. Facilitation of the exercise of shareholder rights to participate in corporate events other than general meetings		By arrangement



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NOTES

1. The currency of the minimum fee in Art. 47.3.2. for United Kingdom is the same as the currency of the deal.

2. The account holders of UCB are exempt from fees and commissions in the following cases: when carrying out transfers with shares from the capital of the bank; buying/selling, inheritance, inheritance with donation; change of personal data; issuing a copy of a deposit receipt; opening, maintenance and closing of a current account, which is going to be used for receiving money from selling of their shares of the Bank. Deadline for closure: 30 days from the date of receipt of the money from the sales of the shares. In case the account was not closed, the fees of the currently valid tariff of the Bank will apply.

3. For the purposes of Art. 49.1 "Member State" is a State which is a Member of the European Union or another State which belongs to the European Economic Area.



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