



# FinfraG Fee Schedule

## **REGIS-TR S.A.**

a company incorporated under the laws of Luxembourg, having its registered office at  
42, avenue J.F. Kennedy, L-1855 Luxembourg, Grand Duchy of Luxembourg registered with the  
Luxembourg Trade and Companies Register under number B 157.650

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## 1. General

This document describes the billing concepts and sets out the applicable fees for the services that REGIS-TR provides to Reporting Participants, Reporting Third Parties, and Non-Reporting Entities (hereinafter referred collectively to as the “Members” and, individually, as a “Member”) according to the Governing Documents.

### 1.1 Currency and VAT

All fees are calculated, invoiced, and charged in Euro, net of Value Added Tax (VAT) and, for Luxembourg domiciled entities, charged with the Luxembourgish VAT applicable to financial services. Members must make their payments without deduction of any tax.

### 1.2 Invoicing and terms of payment

REGIS-TR shall issue invoices to Members as follows:

- Monthly to Reporting Participants and Reporting Third Parties, no later than the 6<sup>th</sup> Business Day of the month following the invoice period;
- Annually to Non-Reporting Entities, no later than on the 6<sup>th</sup> Business Day of February each year, or on the 6<sup>th</sup> Business Day of the month following the account opening during the first year of operations.

By default, invoices are distributed electronically, via a PDF form in a Transport Layer Security (TLS) encrypted email. The service is free of charge. In case clients prefer to receive paper invoices via postal distribution instead, opting out of the electronic service is possible by sending an e-mail to [admin@regis-tr.com](mailto:admin@regis-tr.com).

Unless an alternative email address for billing purposes has been specified in Appendix 2, the email of the Central Coordinator (CC) will be registered as the default recipient. If you would prefer a different email address, inbox, or group email to be registered, the CC can fill in the ‘Contact’ form in the members’ area or get in touch with [admin@regis-tr.com](mailto:admin@regis-tr.com).

Only one email address can be registered per account.

Members have two alternatives for paying their invoices:

- Through SEPA Direct Debit, in accordance with Regulation (EU) N° 260/2012 establishing technical and business requirements for credit transfers and direct debits in Euro, by submitting the corresponding mandate form. Regis-TR shall issue notifications to Members with the relevant payment details of each direct debit at least 14 calendar days before the debit date. The bank account owner of the direct debit mandate will benefit from a refund right for 8 weeks after the date of debit from the bank account;
- By credit transfer in favour of REGIS-TR within 30 calendar days of the invoice date.

The details of the REGIS-TR bank account are as follows:

**Bank:** **Banque Internationale à Luxembourg**  
**69, Route d'Esch, L-2953 Luxembourg**

**BIC:** **BILLULL**

**Beneficiary IBAN:** **LU57 0029 1998 1974 4200**

**Beneficiary Name:** **REGIS-TR S.A.**

### 1.3 Validity and invoicing start date

This fee schedule is valid from 1 July 2021 until further notice and in accordance with the Governing Documents.

All Members will benefit from up to a one-month fee holiday for membership, reporting and maintenance fees, as from the start of their reporting activity. In practice, Members who start reporting on the first business day of a month will get free services for the full calendar month. Members who start reporting at a later point in time during the month will benefit from a fee holiday until the end of that month. Likewise, Members who complete the Account set up and become a REGIS-TR participant in advance of the applicable reporting start date will not incur any fees until they report their first trade. Fees are only charged as of the second month of activity.

### 1.4 Decimals

Numbers are shown on an invoice with maximum two decimal places, but fees are calculated using a precision of up to four decimal places. For example, a fee of 0.0333 will appear as 0.03 on the invoice.

### 1.5 Penalty fees and interest

An administration fee of EUR 40 may apply if an invoice remains unpaid more than 30 calendar days after the invoicing date. This fee is charged without necessarily issuing a reminder.

**Note:** The administration fee is applied for unpaid invoices from the payment due date and it is cumulative onwards.

In addition, REGIS-TR reserves the right to apply interest to any invoice that is not paid within thirty (30) calendar days after the invoice date. Interest is calculated on the outstanding amount at two (2) percentage points above the Luxembourg annual legal rate, and it will accrue automatically and without prior notice on overdue invoices from the due date until payment. In the event a Member fails to make payment of an invoice when due, REGIS-TR shall be entitled, without prejudice to any other remedy it might have under any agreement or otherwise at law, to the following:

- Require the Member to make an immediate payment of all due invoices addressed to the Member, including those not yet overdue;
- Suspend the provision of all services to the Member.

### 1.6 Fee simulations

Members may contact their relationship manager for simulation of the fees that may apply to their activity.

## 1.7 Pricing family groups

Several Members may form a family group, where the group is considered as an entity on its own for the purpose of pricing. Family groups commonly include the parent company together with all other affiliates that are more than 50% owned and directly or indirectly controlled by the parent company. Family groups may also include a structure comparable to a qualifying family group in their own country. Reporting Participants, Internal Reporting Third Parties and Non-Reporting Entities may belong to the same family group. External Reporting Third Parties cannot be part of the same family as Reporting Participants, Internal Reporting Third Parties or Non-Reporting Entities. The distinction between Internal and External Reporting Third Parties is as follows:

- An Internal Reporting Third Party is one who belongs to the same family group as the entity it reports on behalf of;
- An External Reporting Third Party reports on behalf of an entity that does not belong to the same family group.

Family group structures need to be reviewed and approved by REGIS-TR on a case-by-case basis. REGIS-TR must be advised whether a new Member is part of an existing family group, and proof of membership to that family group must be provided by the new Member.

## 1.8 Frequently asked questions

Further information related to fees, calculation rules and invoicing processes can be found in the "Understanding your invoice guide", available in the section Pricing > Fee Schedule of the members' area.

## 2. Pricing Principles Regulatory Services

### 2.1 Membership and registration fees

Reporting Participants and Reporting Third Parties are charged a membership fee on a monthly basis for every Account opened with REGIS-TR. The membership fee is waived for those Internal Reporting Third Party Accounts which also act as Reporting Participants for the same legal entity.

Fee	Amount (EUR)	Basis
<b>Membership fee</b>	350	Monthly

Non-Reporting Entities are charged an annual membership fee as well as a one-off registration fee for every Account opened with REGIS-TR. Membership fees for Accounts opened in the middle of the year are prorated according to the number of months remaining until the end of that year. In case an Account is closed prior to the end of the year, membership fees for the remaining months are reimbursed pro rata.

Fee	Amount (EUR)	Basis
<b>One-off Registration fee</b>	500	Once, upon registration
<b>Membership fee</b>	1,500	Yearly

### 2.2 Reporting fees

The communication of Contractual Data to REGIS-TR is subject to a reporting fee. The reporting fee is applied for each Unique Transaction Identifier (UTI) reported via a Reported Trade Message (XT), be it Report Type N or X, and with Report Level Transaction (T). The reporting fee is applied only once and differs depending on the Account type. The following exceptions apply:

- The reporting fee has a monthly trade allowance for the first 400 trades.
- All life cycle events including modifications and valuation, as well as termination messages are free of charge.
- A trade communicated and cancelled on the same day with action type "error" does not incur a fee.

Reporting fees for trades reported by an Internal or External Reporting Third Party but allocated to the Account of a Reporting Participant will be charged directly to the Reporting Participant. If the Third Party reports the trades for an entity that does not have an Account with REGIS-TR or is a Non-Reporting Entity, the reporting fees are charged to the Third Party.

Fee for Reporting Participants / Internal Third Parties	Amount (EUR)	Basis
<b>Reporting fee OTC/ETD:</b>		
The first 400 trades reported each month	-	
From 401 to 1,000 trades	2.7500	
From 1,001 to 5,000 trades	1.1500	
From 5,001 to 40,000 trades	0.1350	Per UTI / calendar month
From 40,001 to 200,000 trades	0.0700	
From 200,001 to 5,000,000 trades	0.0040	
More than 5,000,000 trades	0.0008	

Fee for External Third Parties	Amount (EUR)	Basis
<b>Reporting fee OTC/ETD:</b>		
The first 400 trades reported each month	-	
From 401 to 1,000 trades	3.2500	
From 1,001 to 5,000 trades	1.2500	
From 5,001 to 40,000 trades	0.1750	Per UTI / calendar month
From 40,001 to 200,000 trades	0.0900	
From 200,001 to 5,000,000 trades	0.0050	
More than 5,000,000 trades	0.0008	

### 2.3 Maintenance fees

Maintenance fees are charged on a monthly basis per open trade.

**Note:** Trades are considered "open" if reported via Reported Trade Message (XT) with Report Type New (N) and Report Level Transaction (T) or Position (P), provided that they remain active in the system for at least one day after the reporting date.

Matured trades reported via Reported Trade Message (XT) trigger maintenance fees for the first month (they are initially recorded as "Active" to allow reporting of further trade types until the following day, when the status is changed to "Mature"). New trades that are cancelled on the reporting date with action type "C" will not trigger maintenance fees.

Maintenance fees for open positions reported by an Internal or External Reporting Third Party but allocated to the Account of a Reporting Participant will be charged directly to the Reporting Participant. If the Third Party maintains open positions for an entity that does not have an Account with REGIS-TR or is a Non-Reporting Entity, the maintenance fees are charged to the Third Party.

Fee	Amount (EUR)	Basis
<b>Maintenance fee</b>		
From 1 to 50,000 positions	0.0333	Per open position /
More than 50,000 positions	0.005	calendar month

## 2.4 Large user fee cap

Reporting Participants, Internal Third Parties or family groups will be charged no more than a total cumulative invoice amount of **EUR 330,000** per calendar year (excluding VAT). This fee cap is not applicable to External Third Parties.

## 2.5 Special services

Special operational services and specific requests requiring ad-hoc dedication of REGIS-TR staff are charged at an hourly rate of EUR 143. Members are informed about the exact fee amounts related to these special services prior to the generation of the invoice.

## Fee Schedule Summary

Fee	Reporting Participant/ Internal Third Party	External Third Party	Non-Reporting Entity
<b>Membership fee</b>	EUR 350/month	EUR 350/month	N/A
<b>Reporting fee</b>			
(0 - 400 trades) each month	EUR 0	EUR 0	N/A
(401 - 1,000 trades)	EUR 2.7500	EUR 3.2500	N/A
(1,001 - 5,000 trades)	EUR 1.1500	EUR 1.2500	N/A
(5,001 - 40,000 trades)	EUR 0.1350	EUR 0.1750	N/A
(40,001 - 200,000 trades)	EUR 0.0700	EUR 0.0900	N/A
(200,001 - 5,000,000 trades)	EUR 0.0040	EUR 0.0050	N/A
(> 5,000,000 trades)	EUR 0.0008	EUR 0.0008	N/A
<b>Maintenance fee</b>			
(0 - 50,000 positions)	EUR 0.0333	EUR 0.0333	EUR
(> 50,000 positions)	EUR 0.0050	EUR 0.0050	1.500/year
<b>Registration fee</b>	N/A	N/A	EUR 500