

## EMIR REPORTING SERVICE FEE SCHEDULE

### 1. DEFINITIONS

1.1. The definitions listed in paragraph 9 shall apply in this Fee Schedule.

### 2. EFFECTIVE DATE

2.1. This Fee Schedule shall take effect on 1 January 2023.

### 3. ACCOUNT MANAGEMENT FEES

#### Annual Account Management Fee

3.1. Each Principal User or Third Party Service Provider shall pay the following Annual Account Management Fee which is billable each year on 1 January and shall be pro-rated by month if a Principal User or Third Party Provider commences using the Service after the 31 January in a year and the pro-rata amount is billable in full in the first month access to the Service is provided. The Annual Account Management Fee is not refundable in the event of termination of a User Agreement or Third Party Provider Agreement during a year.

| Fee Description               | Fee Amount (USD) |
|-------------------------------|------------------|
| Annual Account Management Fee | \$360 year       |

#### Monthly Account Management Fee

3.2. In addition to the Annual Account Management Fee, a Principal User or Third Party Service Provider which has a Family of Users with six or more combined Outstanding Derivatives for OTC Derivatives and ETD Trades in a month or part thereof shall pay the Monthly Account Management Fee for that month which is not refundable in the event of termination of a User Agreement or Third Party Provider Agreement during a month..

| Fee Description                | Fee Amount (USD) |
|--------------------------------|------------------|
| Monthly Account Management Fee | \$220 month      |

### 4. OTC DERIVATIVES

4.1. Each Principal User or Third Party Provider shall pay the following OTC Standard Derivative Fees and OTC High Frequency Derivative Fees for Direct Submissions and Delegated Submissions. Where a Principal User's or Third Party Provider's Delegated Submission identifies in that submission (using the appropriate fields) that the submission is for another Principal User the latter Principal User or Third Party Provider shall pay the fees.

4.2. The OTC Derivative Fees are billable for each first submission or Outstanding Derivative (in both cases identified by UTI and Trade Party 1) during the month or part thereof. In the event of termination of a User Agreement or Third Party Provider Agreement during a month the Fees are not refundable.

- 4.3 For each Principal User or Third Party Provider the OTC Derivative Fees (i.e. OTC Standard Derivative Fees and OTC High Frequency Derivative Fees together) shall be capped at \$500,000 (USD) in any period 1 January to 31 December unless the Principal User or Third Party Provider is a Large User.

**OTC Standard Derivatives Fee per month**

| <b>Number of billable OTC Standard Derivatives</b> | <b>Fees per billable OTC Standard Derivative</b> |
|--|--|
| 1–5,000  | \$0.50   |
| 5001–50,000  | \$0.45   |
| 50,001–100,000                                     | \$0.40   |
| 100,001–250,000                                    | \$0.35   |
| 250,001–500,000                                    | \$0.25   |
| 500,001–1,000,000                                  | \$0.20   |
| 1,000,001 or more                                  | \$0.16   |

**OTC High Frequency Derivatives Fees per month**

| <b>Number of billable OTC High Frequency Derivatives</b> | <b>Fees per billable OTC High Frequency Derivative</b> |
|--|--|
| 1–5,000  | \$0.14   |
| 5001–50,000  | \$0.08   |
| 50,001–100,000   | \$0.06   |
| 100,001–250,000  | \$0.05   |
| 250,001–500,000  | \$0.04   |
| 500,001–1,000,000  | \$0.036  |
| 1,000,001 or more  | \$0.03   |

**5. ETDs**

- 5.1 Each Principal User or Third Party Provider shall pay the following ETD Fees for Direct Submissions and Delegated Submissions. Where a Principal User’s or Third Party Provider’s Delegated Submission identifies in that submission (using the appropriate fields) that the submission is for another Principal User or Third Party Provider the latter Principal User or Third Party Provider shall pay the fees.
- 5.2 The ETD Fees are billable for each first submission and not refundable in the event of termination of a User Agreement or Third Party Provider Agreement during a month.
- 5.3 ETD Fees are calculated based on the number of ETD Trades reported by Direct Submissions and Delegated Submissions.

- 5.4 There are no ETD Fee charges for positions in contrast to OTC Derivatives where fees are payable for both trades and positions.
- 5.5 For each Principal User or Third Party Provider the ETD Fees shall be capped at \$200,000 (USD) in any period 1 January to 31 December unless the Principal User or Third Party Provider is a Large User.

**ETD Fees per month**

| <b>Number of billable ETD Trades</b> | <b>Fees per billable ETD Trades</b> |
|--------------------------------------|-------------------------------------|
| 1–5,000                              | \$0.032                             |
| 5,001–400,000                        | \$0.028                             |
| 400,001–1,500,000                    | \$0.016                             |
| 1,500,001–3,500,000                  | \$0.01                              |
| 3,500,001–6,000,000                  | \$0.006                             |
| 6,000,001 or more                    | \$0.0002                            |

**6. REMOTE DELEGATED REPORTING**

- 6.1 Each Principal User or Third Party Provider shall pay the following Remote Delegated Reporting Fees for Remote Delegated Submissions.
- 6.2 For OTC Derivatives the Remote Delegated Reporting Fees are billable for each first submission or Outstanding Derivative (in both cases identified by UTI and Trade Party 1) during the month or part thereof.
- 6.3 For ETD Trades the Remote Delegated Reporting Fees are billable for each first submission. The Remote Delegated Reporting Fees for ETD Trades are calculated based on the number of ETD Trades reported. There are no fees charged for positions, in contrast to OTC Derivatives where fees are billable for both trades and positions. In the event of termination of a User Agreement or Third Party Provider Agreement during a month the Fees are not refundable.

**Remote Delegated Reporting Fees per month**

**OTC Derivatives**

| <b>Number of billable OTC Derivatives</b> | <b>Fees per billable OTC Derivative</b> |
|---|---|
| 1–10,000                                  | \$1.50                                  |
| 10,001–50,000                             | \$1.00                                  |
| 50,001 or more                            | \$0.25                                  |

**ETDs**

| <b>Number of billable ETD Trades</b> | <b>Fees per billable ETD Trade</b> |
|--------------------------------------|------------------------------------|
| 1 or more                            | \$0.15                             |

**7. MANDATORY DELEGATED REPORTING**

- 7.1. Each Principal User or Third Party Provider shall pay the following Mandatory Delegated Reporting Fees for Mandatory Delegated Submissions.
- 7.2. For OTC Derivatives the Mandatory Delegated Reporting Fees are billable for each first submission or Outstanding Derivative (in both cases identified by UTI and Trade Party 1) during the month or part thereof.
- 7.3. In the event of termination of a User Agreement or Third Party Provider Agreement during a month the Fees are not refundable.

**Mandatory Delegated Reporting Fees per month**

**OTC Standard Derivatives Fee per month**

| <b>Number of billable OTC Standard Derivatives</b> | <b>Fees per billable OTC Standard Derivative</b> |
|--|--|
| 1 or more  | \$0.25   |

**OTC High Frequency Derivatives Fees per month**

| <b>Number of billable OTC High Frequency Derivatives</b> | <b>Fees per billable OTC High Frequency Derivative</b> |
|--|--|
| 1 or more  | \$0.14   |

## 8. GUIDANCE NOTES

8.1 Further guidance on this Fee Schedule may be located in the GTR Clients' Learning Centre of the DTCC website located here: <http://dtcclearning.com/membership/gtr-onboarding/gtr-onboarding-europe.html> (please login in order to be able to see the Billing section – registration is free). The guidance and any examples provided in the GTR Client Learning Centre on this Fee Schedule is for assistance and information only. It shall not form part of nor be used in the interpretation of any of the User Agreement or Third Party Provider Agreement, Operating Procedures, Appendices or Schedules.

## 9. INTERPRETATION

|                                       |  |
|---------------------------------------|--|
| <b>Annual Account Management Fee</b>  | shall have the meaning given in paragraph 3 above.   |
| <b>Asset Class</b>                    | the following abbreviations when used to describe asset class shall mean: CO: commodities and emission allowances; CR: credit; IR: interest rates; EQ: equities; CU: currency (FX).  |
| <b>Contract Types</b>                 | the following abbreviations when used to describe Contract Types shall mean: CD: Financial contracts for difference; FR: Forward rate agreements; FU: Futures; FW: Forwards; OP: Option; SB: Spreadbet; SW: Swap; ST: Swaption; OT: Other.   |
| <b>Directly Onboarded</b>             | shall mean a User which is part of a Family of Users.  |
| <b>Delegated Submission</b>           | shall mean a submission submitted by a User or Third Party Provider on behalf of another User or Third Party Provider which is not in the same Family of Users as the submitting User or Third Party Provider.   |
| <b>Direct Submission</b>              | shall mean a submission by or on behalf a User within the same Family of Users.  |
| <b>ETD Trade</b>                      | shall mean a record or report of the trade execution once cleared (commonly referred to as “listed cleared execution”.   |
| <b>Family of Users</b>                | is a group of Directly Onboarded User or Third Party Service Provider accounts which is specified upon onboarding and accepted by DDRIE as a Family for billing purposes. Please refer to the Annex I SRF and contact the GTR Onboarding team ( <a href="mailto:gtr-onboarding@dtcc.com">gtr-onboarding@dtcc.com</a> / +44 (0)20 7136 6328) if you have a query as to whether an entity or fund is within your Family. |
| <b>Large User</b>                     | shall mean a User which maintained more than 300,000 derivative swap contracts in the trade repositories operated by DTCC Derivatives Repository Plc or its affiliates on 24 August 2012.  |
| <b>Mandatory Delegated Submission</b> | shall mean a submission by or on behalf of a User on behalf of a counterparty which: (1) identifies, using the appropriate field(s), that it is reported on a mandatory delegated basis; and (2) is for a non-financial counterparty that does not meet the conditions referred to in the second subparagraph of Article 10(1) of Regulation (EU) 648/2012 as amended by Regulation (EU) 2019/834.                     |
| <b>Monthly Account Management Fee</b> | shall have the meaning given in paragraph 3 above.   |
| <b>OTC Derivative</b>                 | shall include all OTC High Frequency Derivatives and all OTC Standard Derivatives.   |

**OTC High Frequency Derivative**

shall include the following Asset Classes and Contract Types as defined in Regulation (EU) 2017/104 and ISDA Product IDs as defined in the OTC Derivatives Products Taxonomies with the meanings given on date 9 January 2015:

| Asset Class | Contract Type | ISDA Product ID  |
|-------------|---------------|--|
| CO          | CD, FW        | Any value  |
| CR          | CD            | Any Value  |
| CU          | CD, FW, SW    | Any Value  |
| EQ          | CD            | Any Value  |
| EQ          | SW            | 1)Equity:PortfolioSwap:PriceReturnBasicPerformance:SingleName<br>2)Equity:PortfolioSwap:PriceReturnBasicPerformance:SingleIndex<br>3)Equity:PortfolioSwap:PriceReturnBasicPerformance:Basket |
| IR          | CD            | Any Value  |

**OTC Standard Derivative**

shall include the following Asset Classes and Contract Types as defined in Regulation (EU) 2017/104 and ISDA Product IDs as defined in the OTC Derivatives Products Taxonomies with the meanings given on date 9 January 2015:

| Asset Class | Contract Type                   | ISDA Product ID              |
|-------------|---------------------------------|------------------------------|
| CO          | FR, FU, OP, SB, SW, ST, OT      | Any Value                    |
| CR          | FR, FU, FW, OP, SB, SW, ST, OT, | Any Value                    |
| CU          | FR, FU, OP, SB, ST, OT,         | Any Value                    |
| EQ          | SW                              | Any non-portfolio swap value |
| EQ          | FR, FU, FW, OP, SB, ST, OT      | Any Value                    |
| IR          | FR, FU, FW, OP, SB, SW, ST, OT  | Any Value                    |

**Outstanding Derivatives**

shall mean derivatives, including CCP-cleared derivatives, that have not reached maturity, neither have they been terminated, compressed or errored.

**Principal User**

is the parent account being billed by DDRIE as further defined in paragraph 12 of the Operating Procedures.

**Remote Delegated Submission**

shall mean a submission by or on behalf of a User on behalf of a counterparty which is not Directly Onboarded except where that submission is a Mandatory Delegated Submission.

**Third Party Service Provider**

shall mean any party to an extant: Third Party Provider Agreement with DDRIE; or User Agreement with DDRIE which has requested or required the the access to the Service as a Third Party Provider; and which is permissioned for the Service during the month for which Fees are charged.

**Third Party Provider**

shall mean a Third Party Provider where the Provider is not acting as a Third Party Provider for a Principal User or User (i.e. is making submissions on behalf of the Provider's client(s) which is not a client of the Trade Repository using the Service).

**FEE SCHEDULE EXPLANATORY NOTES**

These are explanatory notes to the DTCC Data Repository (Ireland) plc EMIR Reporting Service Fee Schedule – USD version. These notes contain a worked example to illustrate the calculation of fees under the Fee Schedule for a client billing scenario. It is not intended to alter the interpretation of, amend or vary the Fee Schedule and in the event of conflict between these explanatory notes and the Fee Schedule, the Fee Schedule shall prevail. Terms defined in the paragraph 9 of the Fee Schedule shall have the same meaning when used in the explanatory notes, unless defined below.

**CLIENT MONTHLY USAGE EXAMPLE:** Annual Account Management Fee; Monthly Account Management Fee, 8,000 OTC Standard positions; 55,000 OTC High Frequency positions; 36,000 ETD Transactions; 2,500 OTC Remote positions, 2,000 Mandatory Delegated positions.

|  | <b>Total Fee Summary</b>                                 | <b>Tier(s)</b>   | <b>Fee</b> | <b>Billable Units</b> | <b>Monthly Cost</b> | <b>Annual Cost</b>                       |
|--|--|------------------|------------|-----------------------|---------------------|--|
| <b>1</b>                               | <b>Annual Account Management Fee</b>                     |                  | \$360.00   | 1                     |                     | \$360                                    |
|  | <b>Monthly Account Management Fee</b>                    |                  | \$220      |                       | \$220               |  |
| <b><i>Account Management Total</i></b> |  |                  |            |                       |                     | <b>\$3,000</b>                           |
| <b>2</b>                               | <b>OTC Standard Fee – 8,000 Positions</b>                |                  |            |                       |                     |  |
|  | First 5,000 positions are billed at \$0.50 per position  | 1 - 5,000        | \$0.50     | 5,000                 | \$2,500             |  |
|  | Next 3,000 positions are billed at \$0.45 per position   | 5,001 - 50,000   | \$0.45     | 3,000                 | \$1,350             |  |
| <b><i>OTC Standard Total</i></b>       |  |                  |            |                       |                     | <b>8,000      \$3,850      \$46,200</b>  |
| <b>3</b>                               | <b>OTC High Frequency Fee – 55,000 positions</b>         |                  |            |                       |                     |  |
|  | First 5,000 positions are billed at \$0.14 per position  | 1 - 5,000        | \$0.14     | 5,000                 | \$700               |  |
|  | Next 45,000 positions are billed at \$0.08 per position  | 5,001 - 50,000   | \$0.08     | 45,000                | \$3,600             |  |
|  | Next 5,000 positions are billed at \$0.06 per position   | 50,001 - 100,000 | \$0.06     | 5,000                 | \$300               |  |
| <b><i>OTC High Frequency Total</i></b> |  |                  |            |                       |                     | <b>55,000      \$4,600      \$55,200</b> |
| <b>4</b>                               | <b>ETD Fee - 36,000 ETD Submissions</b>                  |                  |            |                       |                     |  |
|  | First 5,000 trades are billed at \$0.032 per transaction | 1 - 5,000        | \$0.03     | 5,000                 | \$160               |  |
|  | Next 31,000 trades are billed at \$0.028 per transaction | 5,001 - 400,000  | \$0.03     | 31,000                | \$868               |  |

DTCC Data Repository (Ireland) plc Operating Procedures  
EMIR Reporting Service Fee Schedule

|   |  |                |                      |                  |                    |                  |
|---|--|----------------|----------------------|------------------|--------------------|------------------|
| <b><i>ETD Total</i></b>                     |  |                |                      | <b>36,000</b>    | <b>\$1,028</b>     | <b>\$12,336</b>  |
| <b>5</b>                                    | <b>OTC Remote Fee – 2,500 Positions</b><br><br>2,500 OTC Remote Positions are billed at \$1.50 per position  | 1 - 10,000     | \$1.50               | 2,500            | \$3,750            |                  |
| <b><i>OTC Remote Total</i></b>              |  |                |                      | <b>2,500</b>     | <b>\$3,750</b>     | <b>\$45,000</b>  |
| <b>6</b>                                    | <b>OTC Mandatory Delegated Fee – 2,000 Positions</b><br><br>OTC Standard Derivatives: 600 positions<br><br>OTC High Frequency Derivatives: 1,400 positions | 1 +<br><br>1 + | \$0.25<br><br>\$0.14 | 600<br><br>1,400 | \$150<br><br>\$196 |                  |
| <b><i>OTC Mandatory Delegated Total</i></b> |  |                |                      | <b>2,000</b>     | <b>\$346</b>       | <b>\$4,152</b>   |
| <b><i>Total Fees</i></b>                    |  |                |                      |                  |                    | <b>\$165,888</b> |