



Important Notice
The Depository Trust Company

B #:	13612-20
Date:	July 06, 2020
To:	All Participants
Category:	Dividends
From:	International Services
Attention:	Operations, Reorg & Dividend Managers, Partners & Cashiers
Subject:	Tax Relief - Country: Denmark H LUNDBECK A/S CUSIP 40422M206 <u>Record date</u> 03/26/2020 <u>Payable Date:</u> 04/03/2020

*****NO DTC TaxRelief Service*****

DTC has received a notice from Globe Tax please view the following pages for more information.

Important Legal Information: *The Depository Trust Company (“DTC”) does not represent or warrant the accuracy, adequacy, timeliness, completeness or fitness for any particular purpose of the information contained in this communication, which is based in part on information obtained from third parties and not independently verified by DTC and which is provided as is. The information contained in this communication is not intended to be a substitute for obtaining tax advice from an appropriate professional advisor. In providing this communication, DTC shall not be liable for (1) any loss resulting directly or indirectly from mistakes, errors, omissions, interruptions, delays or defects in such communication, unless caused directly by gross negligence or willful misconduct on the part of DTC, and (2) any special, consequential, exemplary, incidental or punitive damages.*

To ensure compliance with Internal Revenue Service Circular 230, you are hereby notified that: (a) any discussion of federal tax issues contained or referred to herein is not intended or written to be used, and cannot be used, for the purpose of avoiding penalties that may be imposed under the Internal Revenue Code; and (b) as a matter of policy, DTC does not provide tax, legal or accounting advice and accordingly, you should consult your own tax, legal and accounting advisor before engaging in any transaction.

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H LUNDBECK A/S has announced a cash dividend and Deutsche Bank Trust Company acts as Depository for the Depository Receipt ("DR") program.

On DR pay date all beneficial owners received this dividend net of the full Danish statutory withholding tax of 27% with the possibility to reclaim as outlined in the below Eligibility Matrix.

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DIVIDEND EVENT DETAILS	
COUNTRY OF ISSUANCE	DENMARK
ISSUE	H LUNDBECK A/S
CUSIP#	40422M206
UNDERLYING ISIN	DK0010287234
DEPOSITARY	DEUTSCHE BANK TRUST COMPANY AMERICAS
DR RECORD DATE	3/26/2020
ORD PAY DATE	3/27/2020
DR PAY DATE	4/3/2020
RATIO (DR to ORD)	1 DR : 1 ORD
ORD RATE	DKK 4.1
STATUTORY WITHHOLDING RATE	27%
	N/A

Please submit all documentation to DANISHDOCS@GLOBETAX.COM with the CLAIM ID as part of the subject line.

FEES & DEADLINES

FILING METHOD	BATCH	PAYMENT METHOD	TAX RELIEF FEE	MINIMUM FEE PER BENEFICIAL OWNER	FINAL SUBMISSION DEADLINE (ESP)
LONG FORM	POST-PAYABLE PROCESS; ON GOING	CHECK OR ACH	UP TO \$0.0125 PER DR	\$25.00	1/5/2023 8:00 P.M. EST

Indemnification:

I / We certify that to the best of my knowledge the individual beneficial owners are eligible for the preferential rates as stated herein and I declare that I have performed all the necessary due diligence to satisfy myself as to the accuracy of the information submitted to me by these beneficial owners. In consideration of the services provided by Deutsche Bank Trust Company Americas contemplated hereby and the assistance provided by the issuer of the shares underlying the ADRs (the "Issuer"), we agree to indemnify, defend, hold and save Deutsche Bank Trust Company Americas, the Issuer and their respective affiliates, and the respective directors, offices, agents and employees of Deutsche Bank Trust Company Americas, the Issuer and each of their affiliates from and against any and all costs, damages or liabilities (including, without limitation, tax payments, interest charges, penalties or other costs assessed by relevant tax and administrative authorities, and the reasonable fees and disbursements of counsel), and any of them, arising out of or relating to the information provided by the undersigned in, or in connection with, this document.

ELIGIBILITY MATRIX – LONG FORM

RATE DESCRIPTION	RECLAIM RATE	ELIGIBLE RESIDENTS	DOCUMENTATION REQUIRED	SIGNATURE REQUIRED
FAVORABLE- 25%	2%	INDIA, MOROCCO	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
FAVORABLE- 20%	7%	EGYPT, TRINIDAD & TOBAGO, TURKEY	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
FAVORABLE- 15%	12%	U.S. INDIVIDUALS U.S. CORPORATIONS U.S. OTHER ENTITIES (IE: S-CORP, PARTNERSHIP, TRUST, ESTATE, ETC.)	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. IRS FORM 6166 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. NO 4. YES 5. NO 6. NO 7. NO 8. NO

<p>FAVORABLE- 15%</p>	<p>12%</p>	<p>ARGENTINA, AUSTRALIA, AUSTRIA, ARMENIA, AZERBAIJAN, BANGLADESH, BELARUS, BELGIUM, BRAZIL, BULGARIA, CANADA, CHILE, CYPRUS, CZECH REPUBLIC, ESTONIA, FAROE ISLANDS, FINLAND, FRANCE, GERMANY, GHANA, GREECE, GREENLAND, HUNGARY, ICELAND, INDONESIA, IRELAND, ITALY, JAMAICA, JAPAN, JERSEY, KENYA, KOREA, REPUBLIC OF (SOUTH), KUWAIT, LATVIA, LIECHTENSTEIN, LITHUANIA, LUXEMBOURG, NORTH MACEDONIA, MALTA, MEXICO, MONTENEGRO, NETHERLANDS, NEW ZEALAND, NORWAY, PAKISTAN, PHILIPPINES, POLAND, ROMANIA, SERBIA, SERBIA-MONTENEGRO, SLOVAK REPUBLIC, SLOVENIA, SOUTH AFRICA, SPAIN, SRI LANKA, SWEDEN, SWITZERLAND, TANZANIA, TUNISIA, UGANDA, UKRAINE, UNITED KINGDOM, VENEZUELA, VIETNAM, ZAMBIA</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
<p>FAVORABLE- 10%</p>	<p>17%</p>	<p>CHINA, CROATIA, GEORGIA, ISRAEL, PORTUGAL, RUSSIA, SINGAPORE, TAIWAN, THAILAND</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
<p>FAVORABLE – 5%</p>	<p>22%</p>	<p>PENSIONS RESIDENT IN THE FOLLOWING COUNTRIES: CROATIA, GHANA, KUWAIT, POLAND, SINGAPORE, SLOVENIA</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO

EXEMPT- 0%	27%	<p>GOVERNMENT AGENCIES IN THE FOLLOWING COUNTRIES:</p> <p>ARMENIA, CYPRUS, GEORGIA, ISRAEL, KUWAIT, UNITED STATES</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE or IRS FORM 6166 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
		<p>PENSIONS RESIDENT IN THE FOLLOWING COUNTRIES:</p> <p>CANADA, CYPRUS, CZECH REPUBLIC, HUNGARY, ISRAEL, JAPAN, NORTH MACEDONIA, SWITZERLAND</p> <p>U.S. PENSIONS SECTIONS 401(a), 501(a)</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE or IRS FORM 6166 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO
		<p>MALAYSIA</p>	<ol style="list-style-type: none"> 1. COVER LETTER 2. CERTIFICATE OF PAYMENT 3. CERTIFICATE OF RESIDENCE or IRS FORM 6166 4. POWER OF ATTORNEY (2) 5. STATEMENT OF ACCOUNT 6. CUSTODY ACCOUNT STATEMENT 7. PURCHASE VOUCHER 8. SHARE BORROWING 	<ol style="list-style-type: none"> 1. YES 2. YES 3. YES 4. YES 5. NO 6. NO 7. NO 8. NO

*NOTE: All documents listed in [BLUE font](#) are generated by GlobeTax's ESP website after submission of beneficial owner data

DESCRIPTION OF VARIOUS DOCUMENTATION

DOCUMENT NAME	DESCRIPTION	DOCUMENT NAME	DESCRIPTION
COVER LETTER (EXHIBIT A)	LISTING OF BENEFICIAL OWNER NAMES, ADDRESSES, TIN, NUMBER OF SHARES AND PERCENT RECLAIM	STATEMENT OF ACCOUNT	DOCUMENTATION THAT SHOWS THAT THE DIVIDEND HAS BEEN DEPOSITED INTO THE ACCOUNT. EXAMPLES INCLUDE A COPY OF THE SHAREHOLDER'S STATEMENT OF ACCOUNT, ALONG WITH A SWIFT CONFIRMATION OR SCREEN PRINT FROM THE BANK SYSTEM. IF THE DIVIDEND HAS BEEN TRANSFERRED VIA SEVERAL BANKS, YOU NEED TO SUBMIT DOCUMENTATION FOR ALL PARTS OF THE TRANSFER.
CERTIFICATE OF RESIDENCE / IRS FORM 6166	ISSUED BY THE LOCAL TAX AUTHORITY, STATING THE NAME AND TAX PAYER IDENTIFICATION NUMBER OF THE BENEFICIAL OWNER. IT MUST BE FOR CURRENT TAX YEAR OF DIVIDEND EVENT	CUSTODY ACCOUNT STATEMENT	STATEMENT OF THE SHAREHOLDER'S SHAREHOLDING AT THE TIME WHEN THE DIVIDEND DISTRIBUTION WAS APPROVED SO THAT THE NUMBER OF SHARES AT THAT TIME CORRESPONDS TO THE NUMBER OF SHARES FOR WHICH REFUND OF DANISH DIVIDEND TAX IS CLAIMED.
CERTIFICATE OF PAYMENT (EXHIBIT B)	REQUIRED FOR ALL LONG FORM CLAIMS. MUST BE SUBMITTED ON DTC PARTICIPANT LETTERHEAD.	PURCHASE VOUCHER	DOCUMENTATION IS REQUIRED IF THE SHAREHOLDER HAS BOUGHT OR SOLD SHARES WITHIN A PERIOD OF SIX MONTHS BEFORE AND AFTER THE TIME WHEN THE DIVIDEND DISTRIBUTION WAS APPROVED. SUCH DOCUMENTATION COULD BE PROOF OF TRADE OR RECEIPT. IF YOU MAKE A CLAIM WITHIN SIX MONTHS AFTER THE TIME THE DIVIDEND DISTRIBUTION WAS APPROVED, YOU MUST ATTACH DOCUMENTATION FOR PURCHASES AND SALES UP UNTIL THE TIME THE CLAIM WAS MADE.
POWER OF ATTORNEY (EXHIBIT C & D)	TWO POWER OF ATTORNEYS ARE REQUESTED IN ALL CASES WHERE A DTC PARTICIPANT IS SIGNING ON BEHALF OF THE BENEFICIAL OWNER-- ONE FROM THE BENEFICIAL OWNER TO THE DTC PARTICIPANT AND ONE FROM THE DTC PARTICIPANT TO DEUTSCHE BANK TRUST COMPANY AMERICAS / GLOBETAX	SHARE BORROWING	THE CLAIM MUST STATE WHETHER THE SHARES WERE BORROWED FROM OR LENT TO OTHERS AT THE TIME WHEN THE DIVIDEND DISTRIBUTION WAS APPROVED.

***NOTE: ALL DOCUMENTS LISTED IN BLUE FONT ARE GENERATED BY GLOBETAX'S ESP WEBSITE AFTER SUBMISSION OF BENEFICIAL OWNER DATA**

CONTACT DETAILS

PRIMARY CONTACT	JED PUK-SILVERSTEIN
DOMESTIC PHONE (U.S.)	1-800-876-0959
DOMESTIC FAX (U.S.)	1-866-888-1120
PHONE NUMBER	1-212-747-9100
FAX NUMBER	1-212-747-0029
EMAIL ADDRESS	JED_PUKSILVERSTEIN@GLOBETAX.COM
GROUP EMAIL	DENMARKESP@GLOBETAX.COM
COMPANY	GLOBETAX SERVICES INC.
STREET ADDRESS	ONE NEW YORK PLAZA, 34 TH FLOOR
CITY/STATE/ZIP	NEW YORK, NY 10004
ADDITIONAL CONTACTS	WONJAE LEE

ESP

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Deutsche Bank Trust Company Americas offers ESP powered by GlobeTax, an electronic withholding tax submission system. This system allows for the secure and simplified transfer of beneficial owner level data from the Participant to Deutsche Bank Trust Company Americas and creates applicable documentation on the Participants behalf. Submit the data online through the web site below, print out the document on letterhead, sign, and mail to Deutsche Bank Trust Company Americas / GlobeTax.

These claims should be submitted through the following web site. (Requires a one-time registration)

<https://ESP.GlobeTax.com>

Please contact support@globetax.com at 212-747-9100 if you have any questions about this process.

FREQUENTLY ASKED QUESTIONS (FAQS)

LONG FORM QUESTIONS

IS THE PROCESS FOR TAX RELIEF OFFERED BNY MELLON AN OPTIONAL PROCESS?	YES , THIS IS A DISCRETIONARY, OPTIONAL SERVICE.
IS THE LONG FORM PROCESS FREE OF CHARGE?	NO . THIS TAX RECLAIM ASSISTANCE SERVICE IS WHOLLY VOLUNTARY AND DISCRETIONARY AND OUTSIDE THE TERMS AND CONDITIONS OF ANY APPLICABLE DEPOSIT AGREEMENT. FEES WILL BE CHARGED FOR THIS ASSISTANCE SERVICE OF UP TO \$0.0125 PER DR FOR LONG FORM WITH A MINIMUM OF \$25.00, AND ANY OTHER CHARGES, FEES OR EXPENSES PAYABLE BY OR DUE TO DEUTSCHE BANK TRUST COMPANY AMERICAS OR ITS AGENTS, INCLUDING THE CUSTODIAN OR TO TAX AUTHORITIES OR REGULATORS. FEES PAID TO DEUTSCHE BANK TRUST COMPANY AMERICAS MAY BE SHARED WITH ITS AGENTS.
DOES THE LONG FORM PROCESS HAVE A MINIMUM POSITION REQUIREMENT PER BENEFICIAL OWNER?	NO , ALL CLAIMS WILL BE PROCESSED THOUGH THERE IS A MINIMUM FEE OF \$25 PER BENEFICIAL OWNER.
WILL I BE PAID THROUGH DTC FOR CLAIMS SUBMITTED THROUGH THE LONG FORM PROCESS?	NO , YOU WILL BE PAID BY CHECK OR ACH.

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