

**19**  
**Decree of Národná banka Slovenska**  
**of 14 December 2010**  
**on fees for acts performed by**  
**Národná banka Slovenska**

Národná banka Slovenska, in agreement with the Ministry of Finance of the Slovak Republic, pursuant to Section 41(3) of Act No. 747/2004 Coll. on Supervision of the Financial Market and on amendments to certain laws (hereinafter referred to as the "Act"), stipulates as follows:

**Article 1**

The amounts of fees for individual types of acts performed, and proceedings undertaken, by Národná banka Slovenska ("NBS") in regard to the supervision of supervised entities are listed in the Annex.

**Article 2**

(1) Fees shall be paid to the account of Národná banka Slovenska designated for the payment of fees, which is published on the website of Národná banka Slovenska.

(2) For payments made under Section 42(7) of the Act, the identification data stated on the payment order shall include, apart from details required under a separate regulation, <sup>[1]</sup> the following:

- a) a variable code, being:
  - 1. in the case of a natural person, his birth registration number (omitting the oblique) or, where no birth registration number has been assigned, his date of birth in the format year, month, day (YYYYMMDD); or
  - 2. in the case of a legal person, its company registration number in Slovakia (IČO), or in the case of a non-resident legal person not assigned an IČO, a comparable identifier.
- b) a specific code, being the code stated in the last column of the Annex for each type of act performed or proceeding undertaken by Národná banka Slovenska in regard to the supervision of supervised entities.

**Article 3**

Decree No. 8/2008 of Národná banka Slovenska of 6 May 2008 on fees for acts performed by Národná banka Slovenska (Notification No. 178/2008 Coll.) as amended by Decree No. 2/2009 (Notification No. 584/2009 Coll.) and Decree No. 10/2010 (Notification No. 277/2010 Coll.) shall hereby be repealed.

#### **Article 4**

This Decree shall enter into force on 1 January 2011.

**Jozef Makúch**  
**Governor**

- ▣) §31(5)(b) second point and §35(1)(a) of Act No. 492/2009 Coll. on Payment Services and on amendments to certain laws.

**Fees for individual types of acts or proceedings performed or undertaken  
by Národná banka Slovenska**

|   | Acts or proceedings  | Fee amount in euro | Specific code |
|---|--|--------------------|---------------|
| <b>Part 1 – Banking</b>   |  |                    |               |
| <b>Item 1 – Granting an authorisation</b>                         |  |                    |               |
| a)  | to establish a bank or a branch of a foreign bank, and to perform banking activities that include the provision of investment services, investment activities and ancillary services <sup>2)</sup>   | 5 000              | 1101          |
| b)  | to establish a bank or a branch of a foreign bank and to perform banking activities that do not include the provision of investment services, investment activities and ancillary services <sup>2)</sup>   | 3 400              | 1102          |
| <b>Item 2 – Amendment of a decision granting an authorisation</b> |  |                    |               |
| a)  | to conduct mortgage transactions or to perform the function of a depository <sup>3)</sup>  | 1 700              | 1201          |
| b)  | to perform other banking activities <sup>4)</sup> not specified in letter a)   | 350                | 1202          |
| <b>Item 3 – Granting approval or prior approval</b>               |  |                    |               |
| a)  | to establish a branch of a bank in the territory of an EU Member State <sup>5)</sup>   | 3 400              | 1301          |
| b)  | to establish a branch of a bank in a non-EU country <sup>6)</sup>  | 3 400              | 1302          |
| c)  | to acquire or increase a qualifying holding in a bank or an electronic money institution, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 20%, 30% or 50%, or whereby the bank or the electronic money institution becomes a subsidiary of the acquirer of the stake, through one more transactions conducted either directly or by acting in concert <sup>7)</sup> | 1 700              | 1303          |
| d)  | to perform activities other than banking activities <sup>8)</sup>  | 350                | 1304          |
| e)  | to perform activities under §2(3)(c) and (4) of Act of the Slovak National Council No. 310/1992 Coll. on Home Savings as amended   | 1 700              | 1305          |
| f)  | to approve the principles of home savings under §7(1) of Act of the Slovak National Council No. 310/1992 Coll. as amended  | 350                | 1306          |
| g)  | to merge or divide a bank or electronic money institution, including the merger of another legal entity with a bank or electronic money institution; to surrender a banking authorisation; or to reduce the share capital on grounds other than the reporting of a loss <sup>9)</sup>  | 1 700              | 1307          |
| h)  | to dissolve a bank or an electronic money institution on grounds not mentioned in (g) or to change the legal form thereof <sup>10)</sup>   | 1 700              | 1308          |
| i)  | to sell a bank, a branch of a foreign bank, or an electronic money institution, or part thereof <sup>11)</sup>   | 1 700              | 1309          |

<sup>2)</sup> §2(2)(b) of Act No. 483/2001 Coll. on Banks and on amendments to certain laws.

<sup>3)</sup> §2(2) of Act No. 483/2001 Coll. as amended.

<sup>4)</sup> §2(2) of Act No. 483/2001 Coll. as amended.

<sup>5)</sup> §13(1) of Act No. 483/2001 Coll. as amended.

<sup>6)</sup> §23(8) of Act No. 483/2001 Coll. as amended.

<sup>7)</sup> §28(1)(a) of Act No. 483/2001 Coll. as amended.

<sup>8)</sup> §2(10) of Act No. 483/2001 Coll. as amended.

<sup>9)</sup> §28(1)(b) of Act No. 483/2001 Coll. as amended.

§81(a) and §85(1) of Act No. 492/2009 Coll.

<sup>10)</sup> §28(1)(c) of Act No. 483/2001 Coll. as amended.

§81(a) and §85(1) of Act No. 492/2009 Coll.

<sup>11)</sup> §28(1)(d) of Act No. 483/2001 Coll. as amended.

§81(a) and §85(1) of Act No. 492/2009 Coll.

|    |   |       |      |
|----|---|-------|------|
| j) | to use shares issued by a bank or an electronic money institution as collateral for the liabilities of the owner of the shares or the liabilities of another person unless the shares constituting the collateral amount to less than 5% of the share capital of the bank or electronic money institution, through one more transactions conducted either directly or by acting in concert <sup>12)</sup> | 1 700 | 1310 |
| k) | to use the internal ratings-based approach for credit risk or to amend such an approach <sup>13)</sup>  | 1 700 | 1311 |
| l) | to use the internal model approach for market risk or to amend such an approach <sup>14)</sup>  | 1 700 | 1312 |
| m) | to use the advanced measurement approach for operational risk or to amend such an approach <sup>15)</sup>   | 1 700 | 1313 |
| n) | to amend Articles of Association <sup>16)</sup>   | 350   | 1314 |
| o) | to disclose information subject to bank secrecy in connection with the sale of a bank, a branch of a foreign bank, an electronic money institution, payment institution, or part thereof, or in connection with the sale of a holding of not less than 33% in the share capital of any such entity or with its merger <sup>17)</sup>  | 350   | 1315 |
| p) | to replace members, or elect new members, of the statutory body, <sup>16)</sup> or to appoint a general proxy <sup>16)</sup>  | 70    | 1316 |
| q) | to replace members, or elect new members, of the Supervisory Board <sup>16)</sup>   | 70    | 1317 |
| r) | to replace managers <sup>18)</sup>  | 70    | 1318 |
| s) | to replace the head of the internal control/internal audit department <sup>18)</sup>  | 70    | 1319 |
| t) | to replace the Chief Executive Officer of a branch of a foreign bank <sup>19)</sup>   | 70    | 1320 |
| u) | to change a registered office <sup>18)</sup>  | 40    | 1321 |
| v) | to exceed the limit on a holding of share capital, including an increase in own funds <sup>20)</sup>  | 40    | 1322 |
| w) | to recognise a credit rating agency for the purpose of using its credit assessment to determine the risk weight of an exposure <sup>21)</sup>   | 1 700 | 1323 |

<sup>12)</sup> §28(1)(e) of Act No. 483/2001 Coll. as amended.  
§81(a) and §85(1) of Act No. 492/2009 Coll.

<sup>13)</sup> §33(1) of Act No. 483/2001 Coll. as amended.

<sup>14)</sup> §33c(1) and (2) of Act No. 483/2001 Coll. as amended.

<sup>15)</sup> §33d(8)(b) of Act No. 483/2001 Coll. as amended.

<sup>16)</sup> §9(4) of Act No. 483/2001 Coll. as amended.  
§81(a) and §85(1) of Act No. 492/2009 Coll.

<sup>17)</sup> §92(9) of Act No. 483/2001 Coll. as amended.  
§88(1) and (2) of Act No. 492/2009 Coll.

<sup>18)</sup> §9(4) and (5) of Act No. 483/2001 Coll. as amended.  
§81(a) and §85(1) of Act No. 492/2009 Coll.

<sup>19)</sup> §9(5) of Act No. 483/2001 Coll.

<sup>20)</sup> §29(3) of Act No. 483/2001 Coll. as amended.

<sup>21)</sup> §32(5) of Act No. 483/2001 Coll. as amended.

| <b>Item 4 – Other acts and proceedings</b>                           |   |       |      |
|--|---|-------|------|
| a)   | Registration of a foreign representative office <sup>22)</sup>  | 1 700 | 1401 |
| b)   | Notification from Národná banka Slovenska that the preconditions to the commencement of activities under a banking authorisation have been met <sup>23)</sup>           | 1 700 | 1402 |
| c)   | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by<br>1. a natural person<br>2. a legal entity                                      | 20    | 1403 |
|  |   | 200   | 1404 |
| d)   | Review of a final decision on an application <sup>25)</sup>   | 200   | 1405 |
| e)   | Appointment or removal of a mortgage administrator and his deputy <sup>26)</sup>  | 70    | 1406 |
| f)   | Determination of the remuneration for a mortgage administrator and his deputy <sup>27)</sup>  | 70    | 1407 |
| g)   | Decision of Národná banka Slovenska stipulating special conditions for the financing of mortgage loans and municipal loans in the amount of at least 70% <sup>28)</sup> | 70    | 1408 |
| h)   | Notification from Národná banka Slovenska that an institution intends to perform banking activities in another Member State without established a branch <sup>29)</sup> | 400   | 1409 |
| <b>Item 5 – Issuance of a duplicate</b>                              |   |       |      |
|  | of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup>   | 20    | 1500 |
| <b>Item 6 – Making a copy of minutes or of another file document</b> |   |       |      |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20  | 1601 |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40  | 1602 |

<sup>22)</sup> §22(1) of Act No. 483/2001 Coll. as amended.

<sup>23)</sup> §7(5) and §8(5) of Act No. 483/2001 Coll. as amended.

<sup>24)</sup> §41(1)(b) and §29(4) of Act No. 747/2004 Coll. on Supervision of the Financial Market and on amendments to certain laws.

<sup>25)</sup> §32(5) of Act No. 747/2004 Coll.

<sup>26)</sup> §78(1) and (3) of Act No. 483/2001 Coll. as amended.

<sup>27)</sup> §81(4) of Act No. 483/2001 Coll. as amended.

<sup>28)</sup> §71(2) of Act No. 483/2001 Coll. as amended by Act No. 552/2008 Coll.

<sup>29)</sup> §13(5) of Act No. 483/2001 Coll. as amended by Act No. 214/2006 Coll.

<sup>30)</sup> §41(1)(c) of Act No. 747/2004 Coll.

<sup>31)</sup> §17(7) of Act No. 747/2004 Coll.

|   | Acts or proceedings   | Fee amount in euro | Specific code |
|---|---|--------------------|---------------|
| <b>Part 2 – Capital market</b>            |   |                    |               |
| <b>Item 1 – Granting an authorisation</b> |   |                    |               |
| a)  | to establish and operate a management company <sup>32)</sup>  | 1 700              | 2101          |
| b)  | to establish a mutual fund, including the approval of the fund rules, prospectus and simplified prospectus <sup>33)</sup>   | 350                | 2102          |
| c)  | to extend the time-limit for harmonisation of the composition of assets in a mutual fund <sup>34)</sup>   | 200                | 2103          |
| d)  | to extend the time-limit for fulfilling obligations under §59(4) of Act No. 594/2003 Coll. on Collective Investment and on amendments to certain laws as amended (hereinafter referred to as “the Collective Investment Act”) <sup>35)</sup>  | 200                | 2104          |
| e)  | to make a public offering of securities issued by a foreign investment firm, or to make a public offering of securities of foreign collective investment undertakings managed by a foreign asset management company either through its branch or without it having established a branch <sup>36)</sup>  | 1 700              | 2105          |
| f)  | to establish and operate a stock exchange <sup>37)</sup>  | 3 700              | 2106          |
| g)  | for an investment firm with a minimum share capital of €50,000 to provide investment services in accordance with Act No. 566/2001 Coll. on Securities and Investment Services and on amendments to certain laws (Act on Securities) as amended (hereinafter referred to as "the Securities Act"); under this authorisation, the investment firm will provide investment services mentioned in §6(1)(a), (b) and/or (d) of the Securities Act, will not be authorised to provide the investment service mentioned in §6(1)(c) of the Securities Act or to underwrite financial instruments on a firm commitment basis, and will not, when providing investment services, be authorised to dispose of the client’s funds or investment instruments <sup>38)</sup> | 1 000              | 2107          |
| h)  | for an investment firm with a minimum share capital of €125,000 to provide investment services in accordance with the Securities Act; the investment firm will provide investment services mentioned in §6(1)(a), (b) and/or (d) of the Securities Act and will not be authorised to provide the investment service mentioned in §6(1)(c) of the Securities Act or to underwrite financial instruments on a firm commitment basis <sup>38)</sup>  | 1 700              | 2108          |
| i)  | for an investment firm with a minimum share capital of €730,000 to provide investment services in a different scope from that referred to in letters (g) and (h) <sup>38)</sup>   | 3 400              | 2109          |
| j)  | to provide investment services to a foreign investment firm through a branch <sup>39)</sup>   | 3 400              | 2110          |

<sup>32)</sup> §6(1) of Act No. 594/2003 Coll. on Collective Investment and on amendments to certain laws as amended by Act No. 747/2004 Coll.

<sup>33)</sup> §36(1) and (3), §63(1) and (3) and §70 (1) and (3) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>34)</sup> §51(4), §66(1) and §73(1), (5) and (8) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>35)</sup> §59(5), §62(7) and §69(9) of Act No. 594/2003 Coll. as amended.

<sup>36)</sup> §75(1) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>37)</sup> §4 of Act No. 429/2002 Coll. on Stock Exchanges as amended by Act No. 747/2004 Coll.

<sup>38)</sup> §55(1) of Act No. 566/2001 Coll. on Securities and Investment Services and on amendments to certain laws as amended.

<sup>39)</sup> §56(1) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

|   |  |       |      |
|---|--|-------|------|
| k)  | to establish and operate a central depository <sup>40)</sup>   | 3 700 | 2113 |
| l)  | to omit certain information from a prospectus of the securities <sup>41)</sup>   | 40    | 2114 |
| m)  | to abridge a prospectus for the securities by the removal of certain information <sup>42)</sup>  | 40    | 2115 |
| n)  | for the person making a public offer of assets, not to disclose certain information in an investment prospectus, <sup>43)</sup>  | 350   | 2116 |
| <b>Item 2 – Amendment of a decision granting an authorisation</b> |  |       |      |
| a)  | to establish and operate a management company <sup>44)</sup>   | 350   | 2201 |
| b)  | to establish a mutual fund <sup>45)</sup>  | 200   | 2202 |
| c)  | to extend the authorisation granted for the provision of investment services to an investment firm, or foreign investment firm, for each investment service <sup>46)</sup>   | 350   | 2203 |
| d)  | to extend an authorisation granted for the provision of investment services to an investment firm, or foreign investment firm, in relation to any ancillary service, <sup>46)</sup> including custodianship and related services <sup>47)</sup>  | 200   | 2204 |
| e)  | to extend an authorisation granted for the provision of investment services to an investment firm, or foreign investment firm, in the case of any amendment not mentioned in (c) or (d) <sup>46)</sup>   | 70    | 2205 |
| f)  | to establish and operate a central depository <sup>48)</sup>   | 500   | 2206 |
| g)  | to establish and operate a stock exchange <sup>49)</sup>   | 500   | 2207 |
| <b>Item 3 – Granting approval or prior approval</b>               |  |       |      |
| a)  | to acquire or increase a qualifying holding in a management company, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 20%, 30% or 50%, or whereby the management company becomes a subsidiary of the acquirer of the stake, through one more transactions conducted either directly or by acting in concert <sup>50)</sup> | 350   | 2301 |
| b)  | to reduce the share capital of a management company on grounds other than the reporting of a loss <sup>51)</sup>   | 700   | 2302 |
| c)  | to elect a member of the Board of Directors of a management company or a member of the Supervisory Board of a management company, or to appoint a general proxy of a management company <sup>52)</sup>   | 40    | 2303 |
| d)  | to merge a management company with another management company <sup>53)</sup>   | 700   | 2304 |

<sup>40)</sup> §100(1) of Act No. 566/2001 Coll. as amended.

<sup>41)</sup> §122(2) of Act No. 566/2001 Coll. as amended.

<sup>42)</sup> §125h(4) of Act No. 566/2001 Coll. as amended.

<sup>43)</sup> §128(3) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>44)</sup> §8(5) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>45)</sup> §37(3), §63(6) and §70(6) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>46)</sup> §59(4) of Act No. 566/2001 Coll. as amended.

<sup>47)</sup> §6(2)(a) and (10) of Act No. 566/2001 Coll. as amended.

<sup>48)</sup> §100(14) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>49)</sup> §5(2) of Act No. 429/2002 Coll. as amended by Act No. 747/2004 Coll.

<sup>50)</sup> §10(1)(a) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>51)</sup> §10(1)(b) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>52)</sup> §10(1)(c) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>53)</sup> §10(1)(d) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

|    |  |       |      |
|----|--|-------|------|
| e) | to amend the Articles of Association of a management company <sup>54)</sup>  | 200   | 2305 |
| f) | to delegate the performance of activities mentioned in §3(2)(a) of the Collective Investment Act <sup>55)</sup> to another legal entity  | 700   | 2306 |
| g) | to establish a branch of a management company in the territory of a non-Member State if such approval is required by legal regulations of that non-Member State <sup>56)</sup>   | 700   | 2307 |
| h) | to sell a management company or part thereof <sup>57)</sup>  | 1 700 | 2308 |
| i) | to surrender an authorisation to establish and operate a management company <sup>58)</sup>   | 350   | 2309 |
| j) | to transfer the management of an open-ended fund or foreign mutual fund to another management company <sup>59)</sup>   | 200   | 2310 |
| k) | to change the depositary of an open-ended fund <sup>60)</sup>  | 200   | 2311 |
| l) | to amend the rules of an open-ended fund <sup>61)</sup>  | 70    | 2312 |
| m) | to merge open-ended funds <sup>62)</sup>   | 200   | 2313 |
| n) | to surrender an authorisation to establish an open-ended fund <sup>63)</sup>   | 70    | 2314 |
| o) | to acquire securities for an open-ended fund's assets from the shareholders of the management company that manages the open-ended fund, or to sell securities from an open-ended fund's assets to the shareholders of the management company that manages the open-ended fund, with the exception of an acquisition of securities which involves a shareholder of the management company in the provision of a core investment service that is the underwriting or placing of financial instruments in accordance with a separate law, and with the exception of anonymous transactions <sup>64)</sup> | 70    | 2315 |
| p) | for a depositary and management company to keep separate records of an open-ended fund <sup>65)</sup>  | 70    | 2316 |
| q) | to transfer the management of a closed-ended fund <sup>66)</sup>   | 200   | 2317 |
| r) | to change the depositary of a closed-ended fund <sup>67)</sup>   | 200   | 2318 |
| s) | to amend the rules of a closed-ended fund <sup>68)</sup>   | 70    | 2319 |
| t) | to surrender an authorisation to establish a closed-ended fund <sup>69)</sup>  | 70    | 2320 |

<sup>54)</sup> §10(1)(e) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>55)</sup> §10(1)(f) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>56)</sup> §10(1)(g) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>57)</sup> §10(1)(h) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>58)</sup> §10(1)(i) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>59)</sup> §57(1)(a) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>60)</sup> §57(1)(b) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>61)</sup> §57(1)(c) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>62)</sup> §57(1)(d) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>63)</sup> §57(1)(e) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>64)</sup> §57(1)(f) of Act No. 594/2003 Coll. as amended.

<sup>65)</sup> §57(1)(g) of Act No. 594/2003 Coll. as amended.

<sup>66)</sup> §68(1)(a) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>67)</sup> §68(1)(b) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>68)</sup> §68(1)(c) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>69)</sup> §68(1)(d) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.



|     |  |     |      |
|-----|--|-----|------|
| u)  | to acquire securities for a closed-ended fund's assets from the shareholders of the management company that manages the closed-ended fund, or to sell securities from a close-ended fund's assets to the shareholders of the management company that manages the closed-ended fund <sup>70)</sup>  | 200 | 2321 |
| v)  | to convert a closed-ended fund into an open-ended fund <sup>71)</sup>  | 200 | 2322 |
| w)  | to merge closed-ended funds <sup>72)</sup>   | 200 | 2323 |
| x)  | to transfer the management of a special fund <sup>73)</sup>  | 200 | 2324 |
| y)  | to change the depository of a special fund <sup>74)</sup>  | 200 | 2325 |
| z)  | to amend the rules of a special fund <sup>75)</sup>  | 70  | 2326 |
| aa) | to surrender an authorisation to establish a special fund <sup>76)</sup>   | 70  | 2327 |
| ab) | to acquire securities for a special fund's assets from the shareholders of the management company that manages the special fund, or to sell securities from a special fund's assets to the shareholders of the management company that manages the special fund <sup>77)</sup>   | 200 | 2328 |
| ac) | to convert a special fund into an open-ended fund <sup>78)</sup>   | 200 | 2329 |
| ad) | to extend the period for which a special fund was established <sup>79)</sup>   | 100 | 2330 |
| ae) | to surrender an authorisation granted under §75 of the Collective Investment Act <sup>80)</sup>  | 200 | 2331 |
| af) | to enter into a contract with another entity pursuant to §78(5) of the Collective Investment Act or to perform activities under §78(3) of the Collective Investment Act <sup>81)</sup>   | 200 | 2332 |
| ag) | to acquire or increase a qualifying holding in a stock exchange, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 20%, 30% or 50%, or whereby the stock exchange becomes a subsidiary of the acquirer of the stake, through one more transactions conducted either directly or by acting in concert <sup>82)</sup> | 350 | 2333 |
| ah) | to merge or divide a stock exchange, including the merger of another legal entity with a stock exchange <sup>83)</sup>   | 700 | 2334 |

<sup>70)</sup> §68(1)(e) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>71)</sup> §68(1)(f) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>72)</sup> §68(1)(g) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>73)</sup> §74(1)(a) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>74)</sup> §74(1)(b) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>75)</sup> §74(1)(c) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>76)</sup> §74(1)(d) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>77)</sup> §74(1)(e) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>78)</sup> §74(1)(f) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>79)</sup> §74(1)(g) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>80)</sup> §79(1)(a) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>81)</sup> §79(1)(b) of Act No. 594/2003 Coll. as amended by Act No. 747/2004 Coll.

<sup>82)</sup> §6(1)(a) of Act No. 429/2002 Coll. as amended.

<sup>83)</sup> §6(1)(c) of Act No. 429/2002 Coll. as amended by Act No. 747/2004 Coll.

|     |   |     |      |
|-----|---|-----|------|
| ai) | to surrender an authorisation to establish and operate a stock exchange <sup>84)</sup>  | 350 | 2335 |
| aj) | for a stock exchange to acquire an interest of more than 33% in the share capital of a legal entity <sup>85)</sup>  | 200 | 2336 |
| ak) | to elect a member of the Board of Directors or a member of the Supervisory Board of a stock exchange, or to appoint the general manager of a stock exchange, or to appoint the head of the inspection unit for stock exchange transactions <sup>86)</sup>   | 40  | 2337 |
| al) | to acquire or increase a qualifying holding in an investment firm, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 20%, 30% or 50%, or whereby the investment firm becomes a subsidiary of the acquirer of the stake, through one more transactions conducted either directly or by acting in concert <sup>87)</sup> | 350 | 2338 |
| am) | to reduce the share capital of an investment firm on grounds other than the reporting of a loss <sup>88)</sup>  | 700 | 2339 |
| an) | to elect a member of the Board of Directors of an investment firm, or the head of a branch of a foreign investment firm; where a bank or branch of a foreign bank is also operating as an investment firm, such prior approval concerns only those persons who will be responsible for its investment firm operation <sup>89)</sup>   | 40  | 2340 |
| ao) | to change the registered office of an investment firm <sup>90)</sup>  | 40  | 2341 |
| ap) | to merge or divide an investment firm, including the merger of another legal entity with the investment firm <sup>91)</sup>   | 700 | 2342 |
| aq) | for an investment firm granted an authorisation under Item 1(g), to surrender the authorisation to provide investment services <sup>92)</sup> pursuant to §6(1)(a), (b) or (d) of the Securities Act  | 40  | 2343 |
| ar) | for an investment firm granted an authorisation under Item 1(h), to surrender the authorisation to provide investment services <sup>92)</sup> mentioned in §6(1)(a), (b) or (d) of the Securities Act   | 40  | 2344 |
| as) | to surrender an authorisation to provide investment services <sup>92)</sup> other than those referred to in (aq) and (ar)   | 200 | 2345 |

<sup>84)</sup> §6(1)(d) of Act No. 429/2002 Coll. as amended by Act No. 747/2004 Coll.

<sup>85)</sup> §6(1)(e) of Act No. 429/2002 Coll. as amended by Act No. 747/2004 Coll.

<sup>86)</sup> §6(1)(b) of Act No. 429/2002 Coll. as amended by Act No. 747/2004 Coll.

<sup>87)</sup> §70(1)(a) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>88)</sup> §70(1)(b) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>89)</sup> §70(1)(c) of Act No. 566/2001 Coll. as amended.

<sup>90)</sup> §70(1)(d) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>91)</sup> §70(1)(e) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>92)</sup> §60(1)(d) and §70(1)(e) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

|     |   |       |      |
|-----|---|-------|------|
| at) | to sell an investment firm, a branch of a foreign investment firm, or part thereof <sup>93)</sup> which provides investment services under the authorisation referred to in Item 1(g) | 350   | 2348 |
| au) | to sell an investment firm, a branch of a foreign investment firm, or part thereof <sup>93)</sup> which provides investment services under the authorisation referred to in Item 1(h) | 700   | 2349 |
| av) | to sell an investment firm, a branch of a foreign investment firm, or part thereof <sup>93)</sup> other than those referred to in (av) and (aw)                                       | 1 700 | 2350 |
| aw) | to acquire or exceed an interest in the share capital of a central depository through one more transactions conducted either directly or by acting in concert <sup>94)</sup>          | 200   | 2351 |
| ax) | for a central depository to acquire an interest of more than 33% in the share capital of a legal entity <sup>95)</sup>  | 100   | 2352 |
| ay) | to elect a member of the Board of Directors or a member of the Supervisory Board of a central depository, or to appoint a general proxy of a central depository <sup>96)</sup>        | 40    | 2353 |
| az) | to decide on the dissolution a company that has been granted an authorisation to establish and operate a central depository <sup>97)</sup>  | 350   | 2354 |
| ba) | to reduce the share capital of an investment firm on grounds other than the reporting of a loss <sup>98)</sup>  | 700   | 2355 |
| bb) | to merge a central depository with another central depository or legal entity having its registered office abroad and performing similar activities <sup>99)</sup>                    | 700   | 2356 |
| bc) | to perform the activities of a central depository member <sup>100)</sup>  | 350   | 2357 |
| bd) | to exercise a right of squeeze-out <sup>101)</sup>  | 1 700 | 2358 |
| be) | for a central depository to perform an activity other than pursuant to §99(3) and (4) of the Securities Act <sup>102)</sup>   | 350   | 2359 |
| bf) | for a stock exchange to perform an activity other than pursuant to §2(1) or (2) of the Stock Exchange Act <sup>103)</sup>   | 350   | 2360 |
| bg) | to recognise a credit rating agency for the purposes of using its credit assessment to determine the risk weight of an exposure <sup>104)</sup>                                       | 1700  | 2361 |
| bh) | to use the internal ratings-based approach for credit risk <sup>104)</sup>  | 1 700 | 2362 |
| bi) | to use the advanced measurement approach for operational risk <sup>104)</sup>   | 1 700 | 2363 |
| bj) | to use the internal model approach for market risk or to amend such an approach <sup>104)</sup>   | 1 700 | 2364 |

<sup>93)</sup> §70(1)(f) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>94)</sup> §102(1)(a) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>95)</sup> §102(1)(b) of Act No. 566/2001 Coll. as amended by Act No.747/2004 Coll.

<sup>96)</sup> §102(1)(c) of Act No. 566/2001 Coll. as amended by Act No.747/2004 Coll.

<sup>97)</sup> §102(1)(d) of Act No. 566/2001 Coll. as amended by Act No.747/2004 Coll.

<sup>98)</sup> §102(1)(e) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>99)</sup> §102(1)(f) of Act No. 566/2001 Coll. as amended by Act No.747/2004 Coll.

<sup>100)</sup> §70(1)(g) and §104(1) of Act No. 566/2001 Coll. as amended.

<sup>101)</sup> §118i(4) of Act No. 566/2001 Coll. as amended.

<sup>102)</sup> §99(6) of Act No. 566/2001 Coll. as amended.

<sup>103)</sup> §2(5) of Act No. 429/2002 Coll. as amended.

<sup>104)</sup> §74(10) of Act No. 566/2001 Coll. as amended.

| <b>Item 4 – Approval of</b> |   |                   |                      |
|-----------------------------|---|-------------------|----------------------|
| a)                          | stock exchange rules <sup>105)</sup>  | 1 700             | 2401                 |
| b)                          | an amendment to the stock exchange rules <sup>105)</sup>  | 350               | 2402                 |
| c)                          | the operating rules of a central depository <sup>106)</sup>   | 1 700             | 2403                 |
| d)                          | an amendment to the operating rules of a central depository <sup>106)</sup>   | 350               | 2404                 |
| e)                          | a takeover bid or a competing takeover bid <sup>107)</sup>  | 350               | 2405                 |
| f)                          | a mandatory takeover bid <sup>108)</sup>  | 1 000             | 2406                 |
| g)                          | withdrawal or revision of a takeover bid or a competing takeover bid, or alterations of a mandatory takeover bid <sup>109)</sup>  | 40                | 2407                 |
| h)                          | an investment prospectus <sup>110)</sup>  | 3 400             | 2408                 |
| i)                          | a prospectus of the securities drawn up as a single document or a base prospectus, <sup>111)</sup> where the issuer is the applicant  | 1 300             | 2411                 |
| j)                          | a prospectus of the securities, <sup>111)</sup> where the issuer is the applicant, consisting of the following separate documents:<br>1. registration document<br>2. summary note<br>3. securities note.  | 700<br>350<br>350 | 2412<br>2413<br>2414 |
| k)                          | a supplement to the prospectus of the securities or investment prospectus <sup>112)</sup>   | 40                | 2415                 |
| l)                          | the recognition that the following is a qualified investor:<br>1. a natural person whose permanent residence is in the territory of the Slovak Republic; <sup>113)</sup> or<br>2. a small and medium-sized enterprise having its registered office is in the territory of the Slovak Republic <sup>114)</sup>   | 30<br>200         | 2416<br>2417         |
| m)                          | a prospectus of the securities drawn up as a single document, where the applicant is a person making a public offer of securities who is not the issuer of the securities, or a person asking for admission to trading on a regulated market <sup>115)</sup>  | 200               | 2418                 |
| n)                          | a prospectus of the securities consisting of separate documents, where the applicant is a person making a public offer of securities who is not the issuer of the securities, or a person asking for admission to trading on a regulated market. <sup>115)</sup> These documents comprise:<br>1. registration document<br>2. summary note<br>3. securities note | 70<br>70<br>70    | 2419<br>2420<br>2421 |
| o)                          | common operating rules and any amendments thereto <sup>116)</sup>   | 350               | 2422                 |

<sup>105)</sup> § 18(3) of Act No. 429/2002 Coll. as amended.

<sup>106)</sup> § 103(4) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>107)</sup> § 114 and § 116 of Act No. 566/2001 Coll. as amended.

§ 118e of Act No. 566/2001 Coll. as amended.

<sup>108)</sup> § 118g, § 119 and § 170(3) of Act No. 566/2001 Coll. as amended.

<sup>109)</sup> § 118a and § 118g of Act No. 566/2001 Coll. as amended.

<sup>110)</sup> § 127(2) and § 128(1) of Act No. 566/2001 Coll. as amended by Act No. 747/2004 Coll.

<sup>111)</sup> § 121, § 125(2) of Act No. 566/2001 Coll. as amended.

<sup>112)</sup> § 125c of Act No. 566/2001 Coll. as amended.

<sup>113)</sup> § 120(6)(d) of Act No. 566/2001 Coll. as amended.

<sup>114)</sup> § 120(6)(e) of Act No. 566/2001 Coll. as amended.

<sup>115)</sup> § 121(4) and § 125(2) and (3) of Act No. 566/2001 Coll. as amended.

<sup>116)</sup> § 40b(4) of Act No. 594/2003 Coll. as amended by Act No. 213/2006 Coll.

| <b>Item 5 – Other acts and proceedings</b>                           |   |      |      |
|--|---|------|------|
| a)   | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by  |      |      |
|  | 1. a natural person   | 20   | 2501 |
|  | 2. a legal entity   | 200  | 2502 |
| b)   | Review of a final decision on an application <sup>25)</sup>   | 200  | 2503 |
| <b>Item 6 – Issuance of a duplicate</b>                              |   |      |      |
|  | of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup> | 20   | 2600 |
| <b>Item 7 – Making a copy of minutes or of another file document</b> |   |      |      |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20 | 2701 |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40 | 2702 |

|   | Acts or proceedings  | Fee amount in euro | Specific code |
|---|--|--------------------|---------------|
| <b>Part 3 – Insurance industry</b>                                |  |                    |               |
| <b>Item 1 – Granting an authorisation</b>                         |  |                    |               |
| a)  | for a legal entity with its registered office in the Slovak Republic to perform insurance activities, or for a foreign insurance company to perform insurance activities in the Slovak Republic through a branch <sup>117)</sup>   | 3 400              | 3101          |
| b)  | for a legal entity with its registered office in the Slovak Republic to perform reinsurance activities, or for a foreign reinsurance company to perform reinsurance activities in the Slovak Republic through a branch <sup>118)</sup>   | 3 400              | 3102          |
| c)  | for an insurance company to perform reinsurance activities in a line of insurance for which it has been granted an authorisation to perform insurance activities <sup>119)</sup>   | 3 400              | 3103          |
| d)  | to enter a natural person in the register of actuaries <sup>120)</sup>   | 100                | 3108          |
| <b>Item 2 – Amendment of a decision granting an authorisation</b> |  |                    |               |
| a)  | for a legal entity with its registered office in the Slovak Republic to perform insurance activities, or for a foreign insurance company to perform insurance activities in the Slovak Republic through a branch <sup>121)</sup>   | 350                | 3201          |
| b)  | for a legal entity with its registered office in the Slovak Republic to perform reinsurance activities, or for an insurance company to perform reinsurance activities pursuant to Part 3 Item 1(c), or for a foreign reinsurance company to perform reinsurance activities in the Slovak Republic through a branch <sup>122)</sup>   | 350                | 3202          |
| <b>Item 3 – Granting prior approval</b>                           |  |                    |               |
| a)  | to acquire or increase a qualifying holding in an insurance company or reinsurance company, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 20%, 30% or 50%, or whereby the insurance company or reinsurance company becomes a subsidiary of the acquirer of the stake, through one more transactions conducted either directly or by acting in concert <sup>123)</sup> | 350                | 3301          |
| b)  | to reduce share capital of an insurance company or reinsurance company on grounds other than the reporting of a loss <sup>124)</sup>   | 700                | 3302          |
| c)  | to elect a member of the Board of Directors, or to appoint a general proxy, of an insurance company or reinsurance company, or to appoint the head, or general proxy, of a branch of a foreign insurance company or foreign reinsurance company <sup>125)</sup>  | 40                 | 3303          |

<sup>117)</sup> §5(1) and §8(1) of Act No. 8/2008 Coll.

<sup>118)</sup> §7(1) and §9(1) of Act No. 8/2008 Coll.

<sup>119)</sup> §4(12) of Act No. 8/2008 Coll.

<sup>120)</sup> §46(5) of Act No. 8/2008 Coll.

<sup>121)</sup> §12(4) of Act No. 8/2008 Coll.

<sup>122)</sup> §12(4) and §4(12) of Act No. 8/2008 Coll.

<sup>123)</sup> §45(1)(a) of Act No. 8/2008 Coll.

<sup>124)</sup> §45(1)(b) of Act No. 8/2008 Coll.

<sup>125)</sup> §45(1)(c) of Act No. 8/2008 Coll.

|  |   |           |              |
|--|---|-----------|--------------|
| d)   | to merge or divide an insurance company or reinsurance company <sup>126)</sup>  | 700       | 3304         |
| e)   | to surrender an authorisation to perform insurance activities or reinsurance activities <sup>127)</sup>   | 350       | 3305         |
| f)   | to sell an insurance company or reinsurance company, a branch of a foreign insurance company or of a foreign reinsurance company, or part thereof <sup>128)</sup>   | 700       | 3306         |
| g)   | to include items under §34(10) and §94(4) of Act No. 8/2008 Coll. on Insurance and on amendments to certain laws in the actual solvency margin of an insurance company or branch of a foreign insurance company, or of a reinsurance company or branch of a foreign reinsurance company <sup>129)</sup> | 200       | 3307         |
| h)   | to perform financial intermediation for financial institutions in accordance with separate regulations <sup>130)</sup>  | 200       | 3308         |
| i)   | to prepay a loan under §34(7) of Act No. 8/2008 Coll. on Insurance and on amendments to certain laws <sup>131)</sup>  | 200       | 3309         |
| j)   | to modify a loan under §34(7) of Act No. 8/2008 Coll. on Insurance and on amendments to certain laws as amended <sup>132)</sup>   | 200       | 3310         |
| k)   | to redeem securities under §34(7) of Act No. 8/2008 Coll. on Insurance and on amendments to certain laws as amended <sup>133)</sup> where they do not have a stipulated maturity  | 200       | 3311         |
| l)   | to establish an additional technical reserve under §23(3) of Act No. 8/2008 Coll. on Insurance and on amendments to certain laws <sup>134)</sup>  | 200       | 3312         |
| <b>Item 4 – Approval</b>   |   |           |              |
| a)   | to transfer the insurance portfolio or part thereof of an insurance company or branch of a foreign insurance company <sup>135)</sup>  | 700       | 3401         |
| b)   | of the Rules of Procedure of the Slovak Insurers' Bureau <sup>136)</sup>  | 350       | 3402         |
| c)   | to amend the Rules of Procedure of the Slovak Insurers' Bureau <sup>136)</sup>  | 200       | 3403         |
| <b>Item 5 – Other acts and proceedings</b>                           |   |           |              |
| a)   | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by<br>1. a natural person<br>2. a legal entity  | 20<br>200 | 3501<br>3502 |
| b)   | Review of a final decision on an application <sup>25)</sup>   | 200       | 3503         |
| <b>Item 6 – Issuance of a duplicate</b>                              |   |           |              |
|  | of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup>   | 20        | 3600         |
| <b>Item 7 – Making a copy of minutes or of another file document</b> |   |           |              |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20      | 3701         |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40      | 3702         |

<sup>126)</sup> §45(1)(d) of Act No. 8/2008 Coll.

<sup>127)</sup> §45(1)(e) of Act No. 8/2008 Coll.

<sup>128)</sup> §45(1)(f) of Act No. 8/2008 Coll.

<sup>129)</sup> §45(1)(g) of Act No. 8/2008 Coll.

<sup>130)</sup> §45(1)(h) of Act No. 8/2008 Coll.

<sup>131)</sup> §45(1)(i) of Act No. 8/2008 Coll.

<sup>132)</sup> §45(1)(j) of Act No. 8/2008 Coll.

<sup>133)</sup> §45(1)(k) of Act No. 8/2008 Coll.

<sup>134)</sup> §45(1)(l) of Act No. 8/2008 Coll.

<sup>135)</sup> §80(5) of Act No. 8/2008 Coll.

<sup>136)</sup> §21(3)(f) of Act No. 381/2001 Coll. on Compulsory Contractual Motor Vehicle Third Party Liability Insurance.

|   | Acts or proceedings   | Fee amount in euro | Specific code |
|---|---|--------------------|---------------|
| <b>Part 4 – Pension savings</b>                                   |   |                    |               |
| <b>Item 1 – Granting an authorisation</b>                         |   |                    |               |
| a)  | to establish and operate a pension fund management company <sup>137)</sup>  | 1 700              | 4101          |
| b)  | to establish and operate a supplementary pension asset management company <sup>138)</sup>   | 1 700              | 4102          |
| <b>Item 2 – Amendment of a decision granting an authorisation</b> |   |                    |               |
| a)  | to establish and operate a pension fund management company <sup>139)</sup>  | 200                | 4201          |
| b)  | to establish and operate a supplementary pension asset management company <sup>140)</sup>   | 200                | 4202          |
| <b>Item 3 – Granting prior approval</b>                           |   |                    |               |
| a)  | to acquire or increase an interest in a pension fund management company, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 5%, 10%, 20%, 33%, 50% or 66%, through one more transactions conducted either directly or by acting in concert, or whereby the pension fund management company becomes a subsidiary of the acquirer of the stake <sup>141)</sup>  | 350                | 4301          |
| b)  | to reduce the share capital of a pension fund management company, exceeding the share capital specified in §47(8) of Act No. 43/2004 Coll. on Retirement Pension Saving and on amendments to certain laws (hereinafter referred to as the "Retirement Pension Saving Act"), on grounds other than the reporting of a loss <sup>142)</sup>   | 700                | 4302          |
| c)  | to elect a member of the Board of Directors of a pension fund management company or a member of the Supervisory Board of a pension fund management company; to appoint a general proxy of a pension fund management company, or managers responsible for the performance of special activities who are directly subordinate to the Board of Directors, or a manager responsible for the internal control department <sup>143)</sup> | 40                 | 4303          |
| d)  | to dissolve a pension fund management company without liquidation by merging it with another pension fund management company, including the transfer to the successor pension fund management company of the pension funds' management and the rights and obligations arising to the savers and beneficiaries under the retirement pension schemes <sup>144)</sup>  | 700                | 4304          |

<sup>137)</sup> §48 of Act No. 43/2004 Coll. on Retirement Pension Saving and on amendments to certain laws.

<sup>138)</sup> §22 and §23 of Act No. 650/2004 Coll. on Supplementary Pension Saving.

<sup>139)</sup> §50(4) of Act No.43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>140)</sup> §24(3) of Act No.650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>141)</sup> §52(1)(a) of Act No.43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>142)</sup> §52(1)(b) of Act No.43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>143)</sup> §52(1)(c) of Act No.43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>144)</sup> §52(1)(d) of Act No. 43/2004 Coll. as amended by Act No. 747/2004 Coll.



|    |  |     |      |
|----|--|-----|------|
| e) | to amend the Articles of Association of a pension fund management company <sup>145)</sup>  | 200 | 4305 |
| f) | to transfer to another pension fund management company the management of pension funds, along with the rights and obligations arising to savers and beneficiaries under the retirement pension schemes <sup>146)</sup>   | 700 | 4306 |
| g) | to change the depository of a pension fund management company <sup>147)</sup>  | 200 | 4307 |
| h) | to amend the rules of a pension fund <sup>148)</sup>   | 70  | 4308 |
| i) | to surrender an authorisation to establish and operate a pension fund management company <sup>149)</sup>   | 350 | 4309 |
| j) | to acquire or increase an interest in a supplementary pension asset management company, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 5%, 10%, 20%, 33%, 50% or 66%, through one more transactions conducted either directly or by acting in concert, <sup>158)</sup> or whereby the supplementary pension asset management company becomes a subsidiary of the acquirer of the stake <sup>150)</sup> | 350 | 4310 |
| k) | to reduce the share capital of a supplementary pension asset management company, exceeding the share capital specified in §22(8) of Act No. 650/2004 Coll. on Supplementary Pension Saving and on the amendment of certain laws (hereinafter referred to as the "the Supplementary Pension Saving Act") <sup>151)</sup>  | 700 | 4311 |
| l) | to elect a member of the Board of Directors of a supplementary pension asset management company or a member of the Supervisory Board of a supplementary pension asset management company; to appoint a general proxy of a supplementary pension asset management company, or a manger responsible for the management of investments who is directly subordinate to the Board of Directors, or a manager responsible for the internal control department <sup>152)</sup>          | 40  | 4312 |
| m) | to surrender an authorisation to establish and operate a supplementary pension asset management company <sup>153)</sup>  | 350 | 4313 |
| n) | to dissolve a supplementary pension asset management company without liquidation by merging it with another pension fund management company, including the transfer to the successor supplementary pension asset management company of the pension funds' management and the rights and obligations arising to the savers and beneficiaries under the supplementary pension schemes <sup>154)</sup>  | 700 | 4314 |
| o) | to transfer to another supplementary pension asset management company the management of pension funds, along with the rights and obligations arising to savers and beneficiaries under the supplementary pension schemes <sup>155)</sup>   | 700 | 4315 |

<sup>145)</sup> §52(1)(e) of Act No. 43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>146)</sup> §52(1)(f) of Act No. 43/2004 Coll. as amended.

<sup>147)</sup> §52(1)(g) of Act No. 43/2004 Coll. as amended.

<sup>148)</sup> §52(1)(h) of Act No. 43/2004 Coll. as amended.

<sup>149)</sup> §52(1)(i) of Act No. 43/2004 Coll. as amended.

<sup>150)</sup> §26(1)(a) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>151)</sup> §26(1)(b) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>152)</sup> §26(1)(c) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>153)</sup> §26(1)(d) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>154)</sup> §26(1)(e) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>155)</sup> §26(1)(f) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

|  |   |           |              |
|--|---|-----------|--------------|
| p)   | to amend the Articles of Association of a supplementary pension asset management company <sup>156)</sup>  | 200       | 4316         |
| q)   | to amend the rules of a supplementary pension fund <sup>157)</sup>  | 70        | 4317         |
| r)   | to modify a benefit plan <sup>158)</sup>  | 70        | 4318         |
| s)   | to entrust to another natural person or legal entity the performance of the activities specified in §37 of the Supplementary Pension Saving Act <sup>159)</sup>   | 700       | 4319         |
| t)   | to change a depository <sup>160)</sup>  | 200       | 4320         |
| u)   | to establish a new supplementary pension fund <sup>161)</sup>   | 700       | 4321         |
| v)   | to merge contributory supplementary pension funds <sup>162)</sup>   | 200       | 4322         |
| w)   | to cancel a contributory supplementary pension fund <sup>163)</sup>   | 200       | 4323         |
| <b>Item 4 – Approval of</b>  |   |           |              |
| a)   | the appointment or discharge of the liquidator of a pension fund management company and of the liquidator's remuneration <sup>164)</sup>  | 200       | 4401         |
| b)   | an extension of the time limit for bringing the composition of a pension funds' assets into line with the limits and provisions under §82 and §88 to 90 of the Retirement Pension Saving Act <sup>165)</sup>      | 350       | 4402         |
| c)   | the appointment or discharge of the liquidator of a supplementary pension asset management company and of the liquidator's remuneration <sup>166)</sup>   | 200       | 4403         |
| d)   | an extension of the time limit for bringing the composition of a supplementary pension funds' assets into line with the limits and restrictions laid down in the Supplementary Pension Saving Act <sup>167)</sup> | 350       | 4404         |
| <b>Item 5 – Other acts and proceedings</b>                           |   |           |              |
| a)   | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by<br>1. a natural person<br>2. a legal entity  | 20<br>200 | 4501<br>4502 |
| b)   | Review of a final decision on an application <sup>25)</sup>   | 200       | 4503         |
| <b>Item 6 – Issuance of a duplicate</b>                              |   |           |              |
|  | of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup>   | 20        | 4600         |
| <b>Item 7 – Making a copy of minutes or of another file document</b> |   |           |              |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20      | 4701         |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40      | 4702         |

<sup>156)</sup> §26(1)(g) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>157)</sup> §26(1)(h) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>158)</sup> §26(1)(i) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>159)</sup> §26(1)(j) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>160)</sup> §26(1)(k) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>161)</sup> §26(1)(l) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>162)</sup> §26(1)(m) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>163)</sup> §26(1)(n) of Act No. 650/2004 Coll. as amended.

<sup>164)</sup> §69(8) of Act No. 43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>165)</sup> §89(4) of Act No. 43/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>166)</sup> §39(8) of Act No. 650/2004 Coll. as amended by Act No. 747/2004 Coll.

<sup>167)</sup> §55(4) of Act No. 650/2004 Coll. as amended.

|  | Acts or proceedings   | Fee amount in euro | Specific code |
|--|---|--------------------|---------------|
| <b>Part 5 – Financial intermediation and financial counselling</b>   |   |                    |               |
| <b>Item 1 – Granting an authorisation</b>                            |   |                    |               |
| a)   | to perform the activities of an independent financial agent <sup>168)</sup>   |                    |               |
|  | 1. to a legal entity  | 300                | 5101          |
|  | 2. to a natural person  | 100                | 5102          |
| b)   | to perform the activities of a financial adviser <sup>168)</sup>  |                    |               |
|  | 1. to a legal entity  | 300                | 5103          |
|  | 2. to a natural person  | 100                | 5104          |
| <b>Item 2 – Amendment of a decision granting an authorisation</b>    |   |                    |               |
| a)   | to perform the activities of an independent financial agent <sup>169)</sup>   |                    |               |
|  | 1. to a legal entity  | 150                | 5201          |
|  | 2. to a natural person  | 50                 | 5202          |
| b)   | to perform the activities of a financial adviser <sup>169)</sup>  |                    |               |
|  | 1. to a legal entity  | 150                | 5203          |
|  | 2. to a natural person  | 50                 | 5204          |
| <b>Item 3 – Other acts and proceedings</b>                           |   |                    |               |
| a)   | Making an entry in the register under a separate regulation <sup>170)</sup>   | 30                 | 5301          |
| b)   | Amending an entry in the register under a separate regulation <sup>170)</sup>   | 20                 | 5302          |
| c)   | Deleting an entry from the register under a separate regulation <sup>170)</sup>   | 20                 | 5303          |
| <b>Item 4 – Issuance of a duplicate</b>                              |   |                    |               |
|  | of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup> | 20                 | 5401          |
| <b>Item 5 – Making a copy of minutes or of another file document</b> |   |                    |               |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20               | 5501          |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40               | 5502          |

<sup>168)</sup> §18(1) of Act No. 186/2009 Coll. on Financial Intermediation and Financial Counselling and on amendments to certain laws.

<sup>169)</sup> §18(15) of Act No 186/2009 Coll.

<sup>170)</sup> §14 to 16 of Act No. 186/2009 Coll.

|   | Acts or proceedings   | Fee amount in euro | Specific code |
|---|---|--------------------|---------------|
| <b>Part 6 – Maintaining a register of creditors and a sub-register of other creditors in accordance with Act No. 129/2010 Coll. on Consumer Credits and Other Credits and Loans for Consumers and on amendments to certain laws</b> |   |                    |               |
| <b>Item 1 – Other acts and proceedings</b>  |   |                    |               |
| a)  | Making an entry in the register of creditors, making an entry in the sub-register of other creditors, or simultaneously making an entry in the register of creditors and in the sub-register of other creditors <sup>171)</sup>               | 200                | 6101          |
| b)  | Amending an entry in the register of creditors, amending an entry in the sub-register of other creditors, or simultaneously amending an entry in the register of creditors and in the sub-register of other creditors <sup>172)</sup>         | 20                 | 6102          |
| c)  | Deleting an entry from the register of creditors, deleting an entry from the sub-register of other creditors, or simultaneously deleting an entry from the register of creditors and from the sub-register of other creditors <sup>172)</sup> | 0                  | 6103          |

<sup>171)</sup> §20(10) and §24 of Act No. 129/2010 Coll. as amended.

<sup>172)</sup> §20(18) and §24 of Act No. 129/2010 Coll. as amended.

|  | Acts or proceedings   | Fee amount in euro | Specific code |
|--|---|--------------------|---------------|
| <b>Part 7 – Foreign exchange</b>                                     |   |                    |               |
| <b>Item 1 – Granting a foreign exchange licence</b>                  |   |                    |               |
| a)   | to trade in foreign exchange assets within the scope of currency exchange activities in which foreign currency cash is bought in exchange for euro cash <sup>173)</sup><br>1. to a natural person<br>2. to a legal entity | 100<br>200         | 7101<br>7102  |
| b)   | to trade in foreign exchange assets within the scope of currency exchange activities in which foreign currency cash is sold in exchange for euro cash <sup>173)</sup><br>1. to a natural person<br>2. to a legal entity   | 100<br>200         | 7103<br>7104  |
| <b>Item 2 – Other acts and proceedings</b>                           |   |                    |               |
| a)   | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by<br>1. a natural person<br>2. a legal entity  | 20<br>200          | 7201<br>7202  |
| <b>Item 3 – Issuance of a duplicate</b>                              |   |                    |               |
|  | of a foreign exchange authorisation or any other decision of Národná banka Slovenska <sup>30)</sup>   | 20                 | 7301          |
| <b>Item 4 – Making a copy of minutes or of another file document</b> |   |                    |               |
| a)   | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20               | 7401          |
| b)   | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40               | 7402          |

<sup>173)</sup> §6 and §13(1) of Act No. 202/1995 Coll. – the Foreign Exchange Act – including amendments to Act of the Slovak National Council No. 372/1990 Coll. on Misdemeanours as amended.

|   | Acts and proceedings   | Fee amount<br>in euro | Specific<br>code |
|---|--|-----------------------|------------------|
| <b>Part 8 – Payment services</b>                                  |  |                       |                  |
| <b>Item 1 – Granting an authorisation</b>                         |  |                       |                  |
| a)  | to issue and administer electronic money to the full extent <sup>174)</sup>  | 3 400                 | 8101             |
| b)  | to issue and administer electronic money to a limited extent <sup>175)</sup>   | 3 400                 | 8102             |
| c)  | for a payment institution to provide payment services <sup>176)</sup>  | 3 400                 | 8103             |
| <b>Item 2 – Amendment of a decision granting an authorisation</b> |  |                       |                  |
| a)  | to issue and administer electronic money to the full extent <sup>174)</sup>  | 350                   | 8201             |
| b)  | to issue and administer electronic money to a limited extent <sup>175)</sup>   | 350                   | 8202             |
| c)  | for a payment institution to provide payment services <sup>176)</sup>  | 350                   | 8203             |
| <b>Item 3 – Granting approval or prior approval</b>               |  |                       |                  |
| a)  | to acquire or increase an interest in a payment institution, whereby the proportion of the share capital or of the voting rights held by the acquirer of the stake reaches or exceeds 10%, 20%, 33%, 50% or 66%, through one more transactions conducted either directly or by acting in concert <sup>177)</sup> | 1 700                 | 8301             |
| b)  | to elect or appoint members of the statutory body of a payment institution, or to appoint a general proxy of a payment institution <sup>178)</sup>   | 70                    | 8302             |
| c)  | to elect or appoint members of the Supervisory Board of a payment institution <sup>178)</sup>  | 70                    | 8303             |
| d)  | to appoint a manager, or to appoint a manager responsible for the internal control department <sup>178)</sup>  | 70                    | 8304             |
| e)  | to amend the Articles of Association of a payment institution <sup>179)</sup>  | 350                   | 8305             |
| f)  | to surrender an authorisation to provide payment services <sup>180)</sup>  | 70                    | 8306             |
| g)  | to dissolve a payment institution with liquidation <sup>181)</sup>   | 1 700                 | 8307             |
| h)  | to change a payment institution's business name or registered office <sup>182)</sup>   | 40                    | 8308             |
| <b>Item 4 – Other acts and proceedings</b>                        |  |                       |                  |
| a)  | Entry of a payment service agent in the register of payment service agents <sup>183)</sup>   | 70                    | 8401             |
| b)  | Notification of the intention to provide payment services in another Member State without establishing a branch <sup>184)</sup>  | 350                   | 8402             |

<sup>174)</sup> §80(1), §81(a), §82 of Act No. 492/2009 Coll.

<sup>175)</sup> §80(1), §81(b), §82 and §87 6 of Act No. 492/2009 Coll.

<sup>175)</sup> §64(1) of Act No. 492/2009 Coll.

<sup>177)</sup> §66(1)(a) of Act No. 492/2009 Coll.

<sup>178)</sup> §66(1)(b) of Act No. 492/2009 Coll.

<sup>179)</sup> §66(1)(c) of Act No. 492/2009 Coll.

<sup>180)</sup> §66(1)(d) of Act No. 492/2009 Coll.

<sup>181)</sup> §66(1)(e) of Act No. 492/2009 Coll.

<sup>182)</sup> §66(1)(f) of Act No. 492/2009 Coll.

<sup>183)</sup> §75(4) of Act No. 492/2009 Coll.

<sup>184)</sup> §79(1) and (3) of Act No. 492/2009 Coll.

|   |   |           |              |
|---|---|-----------|--------------|
| c)  | Notification of the intention to establish a branch of a payment institution in another Member State <sup>185)</sup>  | 1 700     | 8403         |
| d)  | Notification of the intention to provide payment services in another Member State through an agent <sup>186)</sup>  | 350       | 8404         |
| e)  | Notification that an electronic money institution intends to issue and administer electronic money in another Member State without establishing a branch <sup>187)</sup>                              | 350       | 8405         |
| f)  | Notification that an electronic money institution intends to establish in a Member State a branch that will be authorised to issue and administer electronic money to the full extent <sup>187)</sup> | 1700      | 8406         |
| g)  | Notification from Národná banka Slovenska that the preconditions to commencing activities under an authorisation to provide payment services have been met <sup>188)</sup>                            | 800       | 8407         |
| h)  | Notification from Národná banka Slovenska that the preconditions to commencing activities under an authorisation to issue electronic money have been met <sup>189)</sup>                              | 800       | 8408         |
| i)  | Appeal against a first-instance decision on an application <sup>24)</sup> submitted by<br>1. a natural person<br>2. a legal entity  | 20<br>200 | 8409<br>8410 |
| j)  | Review of a final decision on an application <sup>25)</sup>   | 200       | 8411         |
| <b>Item 5 – Issuance of a duplicate</b>   |   |           |              |
| of an authorisation, a permit, an approval, a prior approval, or any other decision of Národná banka Slovenska <sup>30)</sup> |   | 20        | 8500         |
| <b>Item 6 – Making a copy of minutes or of another file document</b>  |   |           |              |
| a)  | for every ten A4-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.20      | 8601         |
| b)  | for every ten A3-sized pages and for any number of pages fewer than ten or remaining after a multiple of ten <sup>31)</sup>   | 0.40      | 8602         |

<sup>185)</sup> §79(1) and (3) of Act No. 492/2009 Coll.

<sup>186)</sup> §75(5) and (6) of Act No. 492/2009 Coll.

<sup>187)</sup> §86(9) and (11) of Act No. 492/2009 Coll.

<sup>188)</sup> §64(9) of Act No. 492/2009 Coll.

<sup>189)</sup> §82(9) of Act No. 492/2009 Coll.