



سوق أبوظبي للأوراق المالية
Abu Dhabi Securities Exchange

Fees List

JUNE 2023



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1- Investors' Services Fees

Type of Service	Fee (AED)
Issuing Holdings Letters	
<ul style="list-style-type: none"> • Ownership letter • To whom it may concern letter • Audit confirmation letter 	AED 100
Printing Investors Reports	
<ul style="list-style-type: none"> • Investor Balance Report • Trading Report • Investor Portfolio Report (Hard copy) 	AED 10 for the first 10 pages, an addition of AED 5 on each extra page
<ul style="list-style-type: none"> • Investor Balance Report • Trading Report • Investor Portfolio Report (Soft copy) 	AED 100
Report with different specifications (Hard Copy)	AED 400 for the first 10 pages, an addition of AED 20 on each extra page. Maximum of AED 15,000
Report with different specifications (Soft Copy)	0.5 for each line, minimum of AED 400, Maximum of AED 15,000
Cross listed securities Transfers	
Securities certificate issuance	AED 200
Transfer between two markets	AED 50
Inheritance Transfers	
Inheritance Distribution	for each person, AED 30, minimum of AED 100 , maximum of AED 600
Inheritance Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 25 from one side

Type of Service	Fee (AED)
Off-Market Transfers	
Transfer ownership between an owner account to company account and vice versa. Or from the company account to another related company account	0.4% of MKT value using previous day closing price with a minimum of AED 50 from one side
Transfer of securities from the individual investor account to the account of the individual institution or vice versa	0.20% of MKT value using previous day closing price with a minimum of AED 25 from one side.
Family Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 25 from one side
Founders Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 25 from both sides
Open Deed Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 200 from one side
Court Order Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 25 from one side
Joint Certificate Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 25 from one side
Financial Settlement Transfer	0.20% of MKT value using previous day closing price with a minimum of AED 100 from one side
Transfer shares from the financial institution to the investor account for financing (Islamic Finance)	0.20% of MKT value using previous day closing price with a minimum of AED 100 including SCA commission 0.05% from every transfer transaction

Type of Service	Fee (AED)
Transfer securities from REPO Seller to REPO Buyer	0.20% of MKT value using previous day closing price with a minimum of AED 100 , SCA commission 0.05% from every transfer transaction
Transfer securities from REPO Buyer to REPO Seller	AED 1000 per company , SCA commission 0.05% from every transfer transaction
Securities Ownership Transfer from a company/establishment account to its employee's accounts under incentive program or scheme.	0.20% of MKT value using previous day closing price with a minimum of AED 25 from both sides
Securities Ownership Transfer between legal entities as results of liquidation, acquisition and mergers of legal entities.	0.4% of MKT value using previous day closing price with a minimum of AED 50 from one side
Securities Ownership Transfer between investment funds or investment accounts of the same natural or legal person.	0.4% of MKT value using previous day closing price with a minimum of AED 50 from one side
Securities Ownership Transfer with ADX' Chief Executive approval	0.4% of MKT value using previous day closing price with a minimum of AED 50 from one side
Securities freeze	
Freeze securities in Registry Account based on investor request	AED 100 per Security
Registry Transfer	
Transfers from Client's Account at Broker to Client's Account at Registry	AED 10 Per Security
Pledge Transactions	
Pledge Recording	0.20% of MKT value using previous day closing price with a minimum of AED 100
Pledge Release	AED100 per form (non-refundable)

Type of Service	Fee (AED)
Other Types of Transfers	
Strategic Deal	0.15% of MKT value using previous day closing price with a minimum of AED 1,000 from both sides
Service of posting advertisement for lost share certificate	
Publication of lost share certificate for a listed company for the purpose of deposit	AED 500 to each request / per investor

2- Listed Companies Fees

Type of Service	Fee (AED)
Capital Change	0.04% of par value with a minimum of AED 25,000 and a maximum of AED 500,000
Stock Splits	AED 20 for each shareholder with a minimum of AED 25,000 and a maximum of AED 500,000
Distribution of Treasury shares to the shareholders of the company	0.4% of par value with a minimum of AED 25,000 and a maximum of AED 500,000
Merge two companies in the Eqautor System	AED 150,000 from each company
Sharebook Report	AED 0.3 / shareholder as a soft copy with a minimum of AED 500 and a maximum of AED 5,000 And / Or AED 0.5 / shareholder with a minimum of AED 1,000 and a maximum of AED 10,000 if a hard copy is requested

Type of Service	Fee (AED)
Pledge Report	AED 5 / shareholder as a soft copy with a minimum of AED 300 and a maximum of AED 5,000 And/ Or AED 200 for the first 20 pages and another AED 20 for each additional page if a hard copy is requested
Other Reports (Hard Copy)	AED 200 for the first 20 pages, AED 20 each additional page. With maximum of AED 5,000
Other Reports (Soft Copy)	AED 0.5 / record as a soft copy with a minimum of AED 300 and a maximum of AED 15,000
Equator Access: Initial Set Up User Access	2,000 / PC 5,000 / User / Year
Fees for annual subscription packages	
Daily Share Book Daily Trade Log (Report)	AED 200,000 *
	AED 500,000 **
Monthly Share Book Daily Trade Log (Report)	AED 100,000 ***
	AED 200,000 ****
Quarterly Share Book Daily Trade Log (Report)	AED 50,000
Monthly Share Book Weekly Trade Log (Report)	AED 20,000
Quarterly Share Book Weekly Trade Log (Report)	AED 15,000

Notes

- * A fee of AED 200,000 is to be paid for the Share Book, in which the number of shareholders is between 1 to 3,350.
- ** A fee of AED 500,000 is calculated on the shareholders' register, in which the number of shareholders exceeds 3,350.
- *** A fee of AED 100,000 is charged to the shareholders' register in which the number of shareholders is between 1 and 4,100.
- **** A fee of AED 200,000 is to be paid to the shareholders register in which the number of shareholders exceeds 4,100.

Type of Service	Fee (AED)
Printing Investors Reports	
Report with different specifications (Soft Copy)	0.5 for each line , minimum of AED 400, Maximum of AED 15,000
Issuing Holdings Letters	
Ownership letter To whom it may concern letter Audit confirmation letter	AED 100
Printing Investors Reports	
Investor Balance Report Trading Report Investor Portfolio Report (Hard copy)	AED 10 for the first 10 pages, an addition of AED 5 on each extra page
Investor Balance Report Trading Report Investor Portfolio Report (Soft copy)	AED 100

3- Brokerage Firms' Fees

Type of Service	Fee (AED)
Change the brokerage company name	AED 10,000
Merge two broker in the Eqautor System	AED 100,000 / brokerage firm
Registry Transfer from broker to RG for brokerages companies	0.1 AED/ investor, minimum of AED 200, maximum of AED 3,000
Transfer securities between the accounts of the same investor with the broker	AED 20 per Security
Increase and decrease cash trading limit.	AED100 per request

Type of Service	Fee (AED)
Increase cash trading limit by comfort letter issued by member firm (Prior to Market Approval)	0.75 % Annually from the increase amount with a minimum of AED 500\Day
Trade Correction by CSD on T+2.	0.3% from the total value for Shares and 0.3% from the total value for Debt Instruments, with Minimum of 100 AED
Public JSC, Private JSC and Exchange Traded Funds (ETFs) Trading Commission:	
<p>An overall commission of 0.150% of the value of each transaction shall be charged & apportioned as follows:</p> <ol style="list-style-type: none"> 1. Broker's Commission: 0.125% Negotiable 2. Others Commission: 0.025%. 	
Debt Instruments (Bonds and Sukuk) Trading Commission	
<p>An overall commission of 0.015% of the value of each transaction shall be charged & apportioned as follows:</p> <p>Broker's Commission 0.0125% Negotiable</p> <p>Others Commission 0.0025%</p>	
Trading Incentive Program Commission	
The Value Traded by the investor During the Year	Others Commission
From 0 AED to 500 Million AED.	0.025%
More than 500 Million AED to 750 Million AED	0.02%
More than 750 Million AED to 1 Billion AED.	0.015%
Above 1 Billion AED.	0.01%

Type of Service	Fee (AED)
Access for Equator:	
Up to 6 users	Free
7 to 12 users	20,000 / Year
13 & up	40,000 / Year
Clients' positions report	AED 0.3 / shareholder as a soft copy with a minimum of AED 500 and a maximum of AED 5,000 And / Or AED 0.5 / shareholder with a minimum of AED 1,000 and a maximum of AED 10,000 if a hard copy is requested
Other Reports (Hard Copy)	AED 200 for the first 20 pages, AED 20 each additional page. With maximum of AED 5,000
Other Reports (Soft Copy)	AED 0.5 / record as a soft copy with a minimum of AED 300 and a maximum of AED 15,000
<ul style="list-style-type: none"> • Ownership letter • To whom it may concern letter • Audit confirmation letter 	AED 100
Printing Investors Reports	
Report with different specifications (Soft Copy)	0.5 for each line, minimum of AED 400, Maximum of AED 15,000
Transfer of securities from margin account between broker	
Transfer of securities from the margin trading account with a Brokerage Firm to his margin trading account with another Brokerage Firm	25 dirhams for each security.

4- Custody Fees

Type of Service	Fee (AED)
<ul style="list-style-type: none"> Annual custody fees that include custodian membership and daily electronic reports. Service charge is billed annually. 	Average portfolio value for the previous year * 0.0025% The minimum fee is AED 80,000.
<ul style="list-style-type: none"> Preparing electronic reports upon request. Service charge is billed annually. 	50 Fils per row in the report .The minimum fee is AED 200 and the maximum is AED 3,000.
<ul style="list-style-type: none"> Activating account override feature. Service charge is billed monthly. 	AED 100/Investor
<ul style="list-style-type: none"> Deactivating account override feature. Service charge is billed monthly. 	AED 100/Investor
<ul style="list-style-type: none"> Moving clients between local custodians without change in beneficiary owner. Service charge is billed monthly. 	AED 100/Investor
Installing the Equator System	AED 2,000/PC
<ul style="list-style-type: none"> Maintaining Equator user ID. Service charge is billed annually. 	AED 5000 /User/Year
<ul style="list-style-type: none"> Password Reset. Service charge is billed monthly. 	AED 50
Increase and decrease cash trading limit.	AED100 per form
Increase cash trading limit by comfort letter issued by Custodian firm (Prior to Market Approval)	0.75 % Annually from the increase amount with a minimum of AED 500\Day

5 - The penalties for late confirmation as procedures for Delivery Versus Payment (Dvp)

Penalty	Penalty Value
Late confirmation on (T+2)	None
Late confirmation on (T+3)	(0.75%) from the total value, with Minimum of (1,000) AED and Maximum (20,000) AED
Late confirmation on (T+4)	(0.75%) from the total value, with Minimum of (2,000) AED and Maximum (30,000) AED
Transfer securities from rejected buy trades account to the broker trading account on T+5	(0.75%) from the trade value, with Minimum of (2,000) AED and Maximum (30,000) AED
Utilize the seller counter party for Buyer Cash Compensation to settle a failed sell trade	(0.75%) from the total value, with Minimum of (5,000) AED and Maximum (100,000) AED

6- Un-Listed Private Joint Stock Companies Fees

Safekeeping of company register fees

Company paid up capital in AED	Fees
Million (1-10)	5,000
Million (10-50)	10,000
Million (50-100)	15,000
Million (100-250)	20,000
Million (250-500)	25,000
(500 Million -1 Billion)	30,000
(More than 1 Billion)	40,000

Type of Service	Fee (AED)
Registration of Transfer of Ownership	0.275 % of securities' face value minimum of AED 200 from both sides

7- Lending & Borrowing Fees

Type of Service	Fee (AED)
Registration of the lending process	0.02% from the below calculation for each side (Lender Agent & Borrower Agent) OR %0.04 from Borrower Agent only Calculation method : (Daily number of borrowed securities X Close price X 0.0002 or 0.0004) ÷ 365 X Number of loan days
The transfer of securities from the borrower account to the lender account.	AED 300
The transfer of securities from the lender account to the borrower account	AED 100
Unfreeze on the securities and register them in favor of the lender's account in the event of recovery of borrowed securities at the request fails.	0.15% of MKT value using previous day closing price with a minimum of AED 100 and a maximum of AED 1 million

8- ICSD Transactions Fees

Type of Service	Fee (US dollar)
Register or Cancel ownership dual listing securities with Euroclear	\$10 US dollar per one transaction.
Register or Cancel ownership dual listing securities not with Euroclear	\$80 US dollar per one transaction.
Annual maintenance fees	(0.0055%) of market value of the registered securities annually . It is addressed to the investor on a monthly basis.

9 - Pledgee Fees

Pledge Transactions

Pledge Recording	0.20% of MKT value using previous day closing price with a minimum of AED 100.
Pledge Release	AED100 per form (non-refundable)
Pledge Report	AED 5 / shareholder as a soft copy with a minimum of AED 300 and a maximum of AED 5,000 And/Or AED 200 for the first 20 pages and another AED 20 for each additional page if a hard copy is requested

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