



InterClear

**I.GO-CP04-RN01
BUSINESS RULES
Book Entry, Deposit of
Securities, and Custody of
Securities**

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SECTION 1: PARTICIPANTS AND PROCEDURES FOR ADMISSION TO INTERCLEAR

1. Users of InterClear's Services

InterClear has two user groups for the services it provides:

- a) ISSUERS (local or foreign) and;
- b) DEPOSITORS are the custody entities authorized by the Superintendence, the settlement members of the Settlement and Clearance System, the international central securities depositories, as well as financial entities that require the services of a central securities depository in the Costa Rican market.

For the purposes of this document, the custody entities authorized by the Superintendence and the settlement members of the Settlement and Clearance System will be referred to as *participant entities*.

2. Admission of Participant Entities

Participant entities interested in being admitted to the system must submit the following documents:

- a. Written application addressed to InterClear's Management and signed by the legal representative to request authorization
- b. Legal capacity (should not be more than one-month old)
- c. Copy of corporate identification number
- d. Copy of ID card of universal agent

The review of these documents and the status of the entity with the National Registry of Securities and Brokers is conducted by the Legal Department of InterClear, and upon approval of the application, the corresponding agreements will be prepared, and the process will be completed upon signing the corresponding services agreement

Upon signing the documents, the following requirements must be also met:

- a. Signature of the membership contract to join InterClear's services
- b. Register of signatures
- c. Signature contract for the use and management of passwords to information systems per the model provided by InterClear

- d. Fill out the InterClear Systems Access Authorization (Form 1)
- e. Fill out the Account Registration for Payment of Maturities (Form 2)
- f. Fill out the Help Desk System Access Authorization –MAB- (Form 3)
- g. Pay the admission fees and expenses per the rate established by InterClear for these purposes

3. Issuer Admission

New issuers interested in being admitted to the system must meet the following requirements:

- a. Application signed by the legal representative of the issuer (debt, equities or shares) or an attorney-in-fact with sufficient powers to register securities issues with InterClear.
- b. Notarial or registry certification of the legal capacity of the issuer's representative, or equivalent documents issued by a competent authority and duly legalized in the case of foreign legal entities. In the case of trusts, legal capacity certificates of the trustee must be also provided. In the case of an attorney in fact, an original or certification of the power of attorney must be provided. Legal capacity certificates should not be more than one month old.
- c. Sign a membership contract to join InterClear's services.
- d. Fill out the InterClear Systems Access Authorization (Form 1), which must be signed and authenticated.
- e. Submit the resolution or letter of compliance which accredits it as an authorized issuer of securities.

Issuers domiciled abroad that will register should comply with the same requirements described above. The application may be submitted by the depositor on behalf of the issuer or by the issuer directly. Foreign legal documents must comply with the corresponding legalization process with the consular authorities of Costa Rica in the country of origin through an apostille procedure (as set forth in the Hague Apostille Convention on October 5, 1961, for the member countries to this Convention), or they can provide a certification issued by a Costa Rican Notary Public who is in the country of origin in a temporary basis.

4. Admission of Other Users of InterClear's Services

To complete the process, the following documents must be submitted before signing the corresponding agreements:

- a. Written application addressed to InterClear's Management and signed by the legal representative to request authorization
- b. Legal capacity (should not be more than one-month old)
- c. Copy of corporate identification number
- d. Copy of ID card of the universal agent(s) with. Fill out the InterClear Systems Access Authorization (Form 1).
- e. Fill out the Account Registration for Payment of Maturities (Form 2).
- f. Fill out the Help Desk System Access Authorization MAB- (Form 3)
- g. Pay the admission fees and expenses per the rate established by InterClear for these purposes.
- h. The same procedure must be followed by foreign entities.

SECTION 2: TYPES OF CUSTODY

1. Segregation of Custodies for Securities Holdings

InterClear gives users the possibility to segregate registration of their holdings into different types of custody per the specific characteristics of instruments and the conditions of the related service.

The types of custody are as follows:

- a. EPREV (Previous Delivery): First-entry custody of securities submitted by depositors for their trading in the Stock Exchange and which have not been previously traded.
- b. CUSLI (Free Custody): Custody for all standardized and non-standardized securities subject to trading by the Stock Exchange and which have been previously traded in the primary or secondary market at least once.
- c. PIGNO (Pledged Securities): Custody for all standardized and non-standardized securities subject to trading through the Stock Exchange and which have a blocking book entry.

- d. DEPOS (Basic Deposit): Custody to register non-standardized securities which, due to their characteristics, are not traded in the Stock Exchange. Securities under this custody do not have a trading code and do not have a collection and payment of maturities service; therefore, they are removed and delivered to the entity when any event of this type exists.
- e. DPCUS (Special Deposit): Custody to register non-standardized securities which, due to their characteristics, are not traded in the Stock Exchange. Securities under this custody do not have a trading code and have a collection and payment of maturities service.
- f. ADMIN (Book Management): Custody of shares and closed-end funds.
- g. GFINA (Financial Groups): Custody of stock of Financial Groups.

SECTION 3: SERVICES FOR ISSUERS

1. Issue Registration and Numbering

InterClear is a member of the Association of National Numbering Agencies (ANNA) and Costa Rica's National Numbering Agency (NNA). As such, InterClear is in charge of assigning ISIN codes (International Securities Identification Number), CFI (Classification of Financial Instruments) and FSNI (Financial Instrument Short Name) to new financial instruments entering the Costa Rican securities market. In accordance with the foregoing, and based on the documentation submitted by issuers, such codes are generated and reported for the issues to be registered.

ISIN Code:

It is structured as follows:

- a) Prefix: It is a code consisting of two alphanumeric characters representing the code of the country where the security is issued. If this code is not available, it is assigned according to ISO 3166.
- b) Unique identifying number: It is a nine characters long, alphanumeric code. If national check digits exist, they should be considered as part of this number.
- c) Check digit: It is calculated pursuant to module 10 of the standard, "Double add double":

STEP 1: Alphabetical characters are assigned a numeric value per the following chart:

A	10	G	16	M	22	S	28	Y	34
B	11	H	17	N	23	T	29	Z	35
C	12	I	18	O	24	U	30		
D	13	J	19	P	25	V	31		
E	14	K	20	Q	26	W	32		
F	15	L	21	R	27	X	33		

STEP 2: The value of alternate digits is doubled, starting with the first digit on the right (least significant), including zeros.

STEP 3: Individual digits that contain the products obtained in step 2 and each one of the digits are added, without affecting the original number.

STEP 4: The total obtained in step 3 is subtracted from the next higher number ending in zero (this is equivalent to calculating the “ten’s complement” of the smallest digits of the total). If the total obtained in step 3 is a number ending with a zero, the check digit is zero.

CFI Code:

It consists of six alphabetical characters that allow differentiating securities and financial instruments according to their characteristics.

The letters used for structuring the CFI are defined in ISO 10962:

- The first character indicates the category of the financial instrument, which may be one of the following:

E	Equities
C	Collective Investment Vehicles (Investment Funds)
D	Debt Instruments

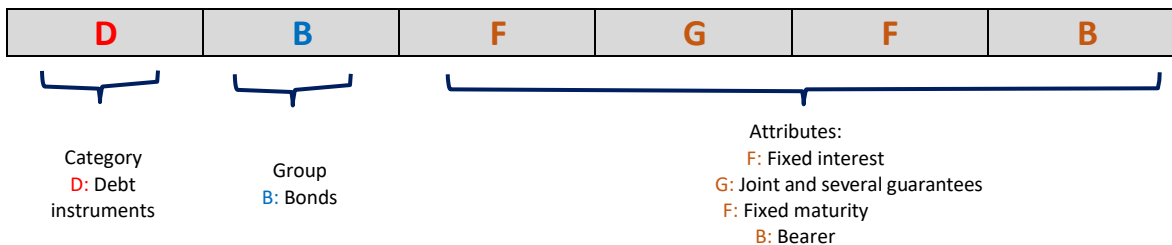
- The second character refers to specific groups within each category, which may be one of the following:

E= Equities	S= Common/ordinary shares
	C= Convertible common/ordinary shares
	P= Preferred/preference shares
	F= Convertible preferred/preference shares

C= Collective Investment Vehicles (Investment Funds)	I= Standard/common investment funds
	P= Private equity fund
	E= Exchange-traded fund (ETF)
	B= Real estate investment trust (REIT)
	F= Funds of funds
	H= Hedge funds
	S= Pension funds
	M= Other (miscellaneous)
D= Debt Instruments	B= Bonds
	C= Convertible bonds
	W= Guaranteed bonds
	T= Medium term notes
	G= Mortgage securities
	A= Asset-backed securities
	N= Municipal bonds
	Y= Money market funds
	S= Structured instruments (capital protection)
	E= Structured instruments (no capital protection)
	D= Certificates of deposit of debt securities
	M= Other (miscellaneous)

- The remaining four characters refer to the most important attributes to each group. To obtain the complete detail of attributes, download appendix **GO-CP04-RN01-AN01 Structure of the CFI and FISN codes** from our website.

Example of a CFI code:



FISN Code:

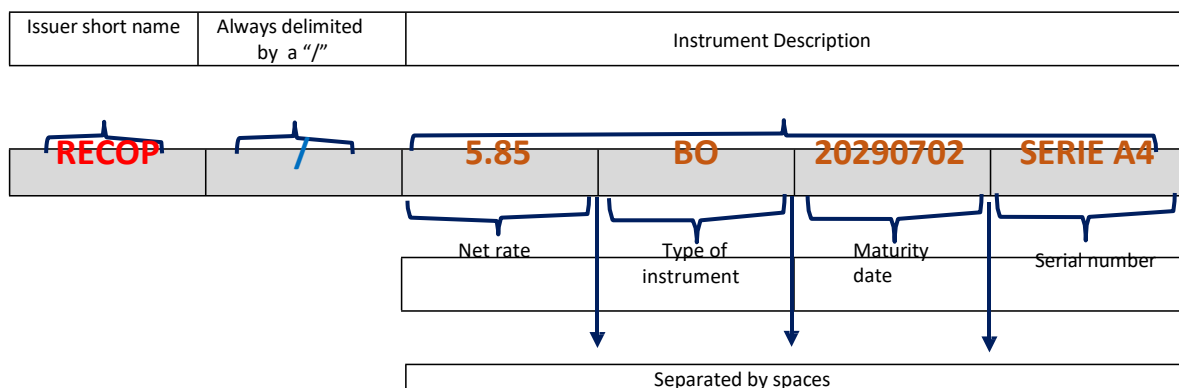
This code provides a consistent approach to standardize short names and descriptions for financial instruments. Both the structure defined in ISO 18774 and the list of abbreviations established by the Association of National Numbering Agencies (ANNA) are used to codify the description of financial instruments.

The FISN code has a maximum of 35 alphanumeric characters and is composed as follows:

- Issuer short name: Short or mnemonic name with a maximum length of 15 alphanumeric characters.
- Delimiter: A “/” between issuer short name and instrument description.
- Instrument description: With a maximum length of 19 alphanumeric characters, assuming that the available length of the issuer name has been fully used including the delimiter “/”. The FISN’s instrument description abbreviations should be separated by spaces, and in the event that all 15 characters have not been used in the issuer name, the remaining space may be used to describe the characteristics of the financial.

To obtain more details about the composition of FISN codes for each type of instrument of the Costa Rican stock market, download appendix **GO-CP04-RN01-AN01 Composition of CFI and FISN codes** in our website.

Example of a FISN Code:



For recording issues, the issuer’s legal representative must submit a formal request document, with a copy of the issuance agreement attached, so that the corresponding code can be assigned.

Once the public offer authorization resolution is obtained, the issuer must sign the respective addenda to the agreements initially signed.

InterClear's Management will review the documentation received and, if it complies with the requirements, they will agree upon recording the issue by sending a letter to the issuer within five business days from the moment the issuer has submitted all information required.

For the process of recording and numbering issues, the Debt Instruments Registration (Form 4) or the Shares and Closed-End Fund Registration (Form 5) must be completed and returned via e-mail as a .pdf file, digitally signed by the issuer's representative.

2. Managing Issues Recorded in the Book-Entry System

Issuers will have access to InterClear's system where they may generate balance reports per ISIN on the issues recorded in the book-entry system, once they are recorded and active. The following detail may be checked online for each issue entered in the book-entry system:

- ISIN Code
- Authorized amount
- Allocated amount
- Available amount
- Pledged amount
- Amortized amount

3. Allocated Balances and Composition of Issues Recorded in the Book-Entry System

Issues recorded in InterClear may be subject to modifications or allocations in their issue balance either to increase or reduce the original balance.

These modification requests must be supported by the appropriate documentation, either by a resolution of the Superintendence or a Relevant Matter Notice, depending on the case. These requests will be processed by InterClear when respective supporting documents are submitted.

4. Managing Registry of Shareholders and Investors

InterClear provides the service of managing registries of shareholders and investors to the security issuers.

The service to register management gives access to a module that centralizes the records of custody status by end accountholders. It allows the issuer to control the investor identity by date and method of acquisition, in order to support the corporate or financial procedures that involve close dates or tax status of the investors.

Issuers who would like to use this service should submit the following:

- a. Application signed by legal representative or an attorney-in-fact with sufficient powers to register their books with InterClear.
- b. Notarial or registry certification on the legal capacity of the issuer's representative, or equivalent documents issued by a competent authority and duly legalized in the case of foreign legal entities. Legal capacity certificates should not be more than one month old.
- c. Shares and Closed-End Fund Registration (Form 5)
- d. Signature of the respective agreements with InterClear
- e. InterClear Systems Access Authorization (Form 1), duly signed and authenticated.

Issuers or investment funds will have access to check records of their books in the system.

5. Financial and Corporate Event Processing

InterClear will provide the service of processing financial and corporate events that have been previously notified by issuers through relevant event notices. It may be about dividends in cash or in shares, stock splits or any other equity benefit. The following are the information requirements that issuers must fulfill, depending on each case:

- a. **Reporting Date:** When applicable, it is the date of the meeting in which the financial or corporate event will be announced. The event must be notified within a maximum term of one business day after such meeting. For stock splits, the statement must indicate in detail the agreed-upon stock split proportion.
- b. **Cutoff Date:** Date designated by the Shareholders' Meeting, or the duly appointed Board of Directors, as the date on which shareholders entitled to receive the stated benefit will be determined. This date should be subsequent to the Reporting Date and, under no circumstance, less than eight business days after the reporting date.

- c. **Payment Date:** Date designated by the Shareholders' Meeting to make effective the agreed-upon benefit. This date must be subsequent to the Cutoff Date.

This information must also be reported to the Stock Exchange, which will define and inform other relevant data to the market for the security trading purposes.

6. Managing Programs for Payment and Amortization of Issues

Fixed income instruments registered with InterClear may pre-register their principal and interest payment program. This program will be managed by InterClear with the purpose of complying with collection process and the payment of financial obligations by issuers to depositors on scheduled dates.

InterClear will generate a maturity detail for issuers with a week in advance projection on issues recorded in the book-entry system. This detail will be delivered on the maturity date for each instrument or on the next business day as of such date. Issuers will be able to obtain this information directly through SIBO information system.

Payments of principal, interest, and others for issues recorded in the book-entry system will be made upon confirmation of the deposit of funds by issuers or paying agents in the reserve accounts maintained by InterClear at Banco Central de Costa Rica (Costa Rica's Central Bank). InterClear Central de Valores, S.A. will be entity number 839 in SINPE (National Electronic Payment System), with corporate ID number 3-101-566593.

The numbers of our reserve accounts are:

Colones: 1000-0083-9010-0001-6

Dollars: 1000-0083-9020-0002-4

The hours for submission of reports and payment processing by issuers is as follows:



Report	Delivery frequency and days	Delivery time	Payment time
Weekly maturity	Weekly- Wednesdays	03:00 p.m.	Maturity date or the next business day by 11:00 a.m.
Daily maturity	Daily- Business days	08:00 a.m.	Maturity date or the next business day by 11:00 a.m.

In the event of the issuer's failure to pay, whether in full or in part, securities holding entities will be notified of the situation.

As soon as the issuers' funds are received, within banking hours, payments will be credited to the respective entities.

Should a financial event previously reported by the issuer takes place regarding any of the any issues recorded in the book-entry system at InterClear, corresponding enforcement proceeds.

If there are discrepancies between the issuer's calculations and the reports generated by the system, a special reconciliation request should be processed through the help desk.

7. Assistance with Tax Withholding on Investments

InterClear will generate information for issuers that allows them to identify the tax amounts to be withheld as a result of financial instrument maturities. Reports will include a detail of the gross amounts to be paid, the corresponding tax withholdings, and the reimbursement amounts for exempt security holders.

Additionally, the periodic information generation service on tax withholdings will be provided to comply with the requirements of the Dirección General de Tributación Directa (Costa Rican Tax Authorities.)

The schedule established to pay income tax of exempt account depositors is as follows:

Report	Delivery frequency and days	Delivery time	Payment time
Income tax report for issuers	Daily- Maturity date or the next business day	08:00 am	Daily- Before 11:00 am

8. Trading of Financial Instruments in Other Markets

InterClear will allow the access of Central Securities Depositories from other markets as users of its services. This will allow issuers, through inter-institutional operational agreements, to trade their financial instruments in other stock exchange markets.

SECTION 4: SERVICES FOR DEPOSITORS

1. Securities Account Management

InterClear offers the service of security account management through which the recording of all securities deposited or in the book-entry system is managed.

Each entity will maintain an account for its own securities and an unlimited number of accounts for third-party securities. Each account is identified with a unique number assigned by the service.

For opening third-party accounts, entities should identify them with the name and ID number of their accountholders, as well as with the domicile, nationality with name, and ID number, whether individuals or legal entities.

Entities may open, suspend, and close such accounts.

In the case of the entities' proprietary accounts, it is InterClear's task to suspend and close these accounts whenever a law enforcement agency orders so, or when one of the following matters takes place:

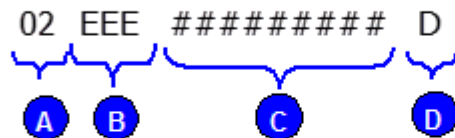
- a. Bankruptcy declaration of the entity by a law enforcement agency
- b. Change of identification number
- c. Merger with another custody entity
- d. Entity inactivity for over a year

When a security account is suspended, no security trading movements are allowed; however, payments for maturity of deposited securities are not prohibited.

In the case of closing an account, this can take place after confirming the balance is zero and that there are no transactions pending settlement.

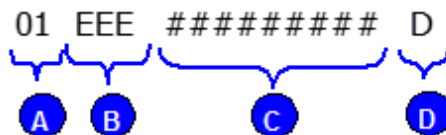
Estructura del número de cuenta de valores

Nombre del campo:



- A** Corresponde a la identificación del tipo de cuenta de que se trata. (02- VALORES)
- B** Corresponde a la identificación de la entidad de custodia (3 posiciones)
- C** Corresponde a un número de cuenta asignado por el custodio a su discreción (9 posi
- D** Corresponde a un dígito verificador (1 posición)

Estructura del número de cuenta del emisor (para colocaciones en el mercado prima



- A** Corresponde a la identificación del tipo de cuenta de que se trata. (01- EMISOR)
- B** Corresponde a la identificación del EMISOR (3 posiciones)
- C** Corresponde a un número de cuenta asignado como estandar para cualquier emisor.
- D** Corresponde a un dígito verificador (1 posición)

2. Managing Securities Account Movements

This involves recording the movements affecting the balances of issues and the balances of securities accounts. Moreover, it records other entry movements through the use of authorized forms (Forms 6 and 7) or court orders, i.e., registration of pledges, liens, and attachments.

- a. **Entry recording.** Recording any kind of movement related to securities holdings at InterClear requires the respective orders issued by the entity that owns the accounts involved.
- b. **Transfers:** Transfers between accounts or depositors will be directly made by the entities in the InterClear system. The transfer of securities must be made through a charge to the account of the transferor and a credit to the account of the transferee. These transfers are monitored by InterClear.

3. Settlement of Transactions and Instructions for Registered Issues

This involves the settlement of transactions performed in different markets. For this service, there is a system for a real-time application of the movements in the balances of issues and the related accounts to be affected. During this process, a blocking of balances is allowed as part of the steps related to the settlement.

4. Managing Exempt Security Holders

InterClear manages the recovery of income taxes in case of issuers whose issues are recorded in the accounts. This service is provided through a prior identification of securities accounts of the participant entities owned by the exempt security holders as well as the holding terms to recover tax refunds on the tax rates to which the issues are subject in accordance with the Costa Rican laws.

To get the service, the following requirements must be met:

- a. Sending a formal note requesting the registration of the exempt investor in InterClear records
- b. Customer account number
- c. Properly filling out the Exempt Investor Registration form established by InterClear (Form 8)

- d. Submitting an original or a copy authenticated by a Notary Public of the official letter issued by the Costa Rican Tax Authorities of the Ministry of Finance to certify that the investors has an exempt status.

The participant entities must make sure the information contained in the exempt investor registration form is aligned with investor records and must process the corresponding renewal of the official letter issued by the Costa Rican Tax Authorities which certifies the continuity of the exemption benefit for the client at least one month prior to expiration.

The participant entities must provide InterClear with an exempt investor registration form containing up-to-date information.

Should the official letter issued by the Costa Rican Tax Authorities expires and the entity has not yet provided InterClear with up-to-date documentation on the day after the expiration, InterClear will not process the recovery with issuers to which the exempt account might be related.

The schedule to process the recovery and payment of the income tax for depositors with registered exempt accounts is as follows:

Report	Delivery frequency and days	Delivery time	Payment time
Income tax report for participant entities	Daily- Maturity date or the next business day	08:00 a.m.	Daily or next business day at 01:00 p.m.

5. Issue of Certifications

InterClear will provide the participant entities with certifications of issue on the securities registered in the accounts, either about their own accounts or about the total recorded balances. Third-party certifications will be issued by second-tier custody entities.

These certifications certify securities holdings and allow exercising the rights derived from the securities recorded in the accounts and/or prove the existence of a lien on the securities. These certifications are non-tradeable.

To process this certification, the participant entity must send a formal note to InterClear with the respective information to be certified. The term of the issue and delivery will be 1 business day upon receipt of the note.

The certification will be sent by e-mail to the individuals indicated in the note in PDF format and with a digital signature. Should written proof be required, the participant entity must send an authorized person who must provide the following: full name and ID number.

6. Managing Events that Affect Securities Account Holdings

InterClear will manage financial and corporate events previously notified by the issuers through the communications about relevant matters as well as the collection of expired events and other benefits.

The payments to entities will be made after confirming the inflow of funds by issuers or paying agents in the reserve accounts of InterClear with the Central Bank of Costa Rica. In case of currencies different from the Costa Rican colón, the payments will be credited in their source currency, except in the case of development units, in which case they will be paid in colones according to the value of the development units (UDES).

The schedule to send reports and process the payments by issuers is as follows:

Report	Delivery frequency and days	Delivery time	Payment time
Weekly expiration	Weekly - Wednesday	03:00 p.m.	Same day of expiration or next business day at 11:00 a.m.
Daily expiration	Daily- business days	08:00 a.m.	Same day of expiration or next business day at 11:00 a.m.

In the event of a total or partial default by the issuer, this situation will be reported to the entities.

In the event of differences between the calculations performed by the entity and the reports generated by the system, a special reconciliation requirement must be processed through a help desk.

SECTION 5: RECEIPT OF DEPOSITED SECURITIES

1. Receipt of Non-Standardized Securities

InterClear will process the receipt and management of non-standardized securities of Depositors. The deliveries by depositors must be recorded through InterClear systems from Monday through Friday from 8:00 a.m. to 4:00 p.m.

Such securities may have one of the following types:

- a) **Dematerialized with digital signature:** This type applies only to securities issued by entities audited by the General Superintendence of Financial Entities per Article 10 of the Regulatory Stock Market Law.

To choose this kind of representation, InterClear will verify the documents that have been signed using a digital signature certificate in effect and issued by a recognized certifying entity in Costa Rica and the signers must have sufficient powers for that purpose, and InterClear will also verify their integrity and minimum contents established by law for the issue and validity of individual securities.

The signers of the documents must be previously recorded by the issuer at InterClear and must have sufficient powers to sign such documents. The electronic document must be issued in PDF format, identified with a name (mnemonic of the issuer – number of the security shown in the electronic document, i.e., ICLEA-001), and with the format shown in Form 8.

They will be received by the Help Desk until 4:00 p.m., so that it can meet the daily operating processes of InterClear. The documents received after this time will be processed on the next day.

- b) **Physical Securities:** Securities can be deposited by submitting the documents at InterClear offices. They must be validly and legitimately submitted, be in

perfect conditions, not include expired coupons, and not have less than 3 days prior to expiration.

They must not be subject to attachments, administrative proceedings or court orders that may affect the exercise of their ownership or circulation.

The person in charge of delivering such securities must be previously authorized to enter InterClear's facilities. To request this authorization, the entity must send to InterClear a formal note with the request, either on paper or digital. Moreover, the entity must fill out an authorization slip signed by the legal representative of the entity.

To enter the vault, the individual or physical securities must have the authenticity verification seal and the stop orders, including the verification and expiration dates. This is the responsibility of the issuer and the signers, who have to be duly authorized by the issuer at InterClear.

In case of registered or bearer securities, they must be endorsed on behalf of InterClear to grant it with the rights and services associated with such securities.

2. Release of Deposited Securities

There are three methods to release non-standardized securities:

- a. **When due:** For securities under custody and which do not provide management and payment of maturities services, InterClear will automatically generate the daily release of securities and the depositing entity must pick up the package to make the collection of maturities.
- b. **Voluntary release:** For securities that even though have not expired, they have been requested by the depositor. The entity must enclose the release request in the InterClear system. The securities subject to voluntary releases must have a maturity term of no less than 4 days.
- c. **Extinction of the obligation:** When the issuer has acquired, on its own, the holding of securities of other depositors and wishes to withdraw them from InterClear.

3. Physical Takings of Deposited Securities

InterClear will conduct physical takings of deposited securities. The depositor will previously send a note to request a physical taking, including the information on the individuals who will attend the audit: including their full name, ID number, capacities, and details of the securities to be physically counted.

Upon reviewing the request, it is sent to the queuing system (PEPS- InterClear) for an appointment and for a report of the date and time to the requesting entity.

4. Registration of Stop Orders

InterClear will register the stop order for issued securities that are not deposited in the entity.

The issuer will be responsible for receiving investor requests and must send a formal note to InterClear with the specific characteristics of the securities concerned, also indicating if it is payable to order or a bearer security. Such note must be sent through the Help Desk and be digitally signed.

The issuer must register the individuals authorized to issue stop orders on a signature registration form for a stop order (Form 9) and submit it with the corresponding digital signatures. The participant entities must update the signature register at least once a year or when there is a change in the authorized individuals, and the entity will be solely responsible for informing InterClear about such changes.

SECTION 6: CONNECTION WITH INTERNATIONAL MARKETS

1. International Custody Account

InterClear will give access to an international securities custody service through CLEARSTREAM BANKING (CLB) and EUROCLEAR (EURO).

The securities will remain registered in the name of InterClear, but they will be segregated in sub-accounts in the name of their depositors. InterClear has the systems and controls necessary for their due segregation in favor of depositors per the agreement with international custody entities. The services will be governed by the documents "General Terms and Conditions" and "Customer Handbook" available in the website of such entities.

The service will allow the routing of instructions for settlement against payment or free of payment for transactions in any markets where CLB and EURO have a presence.

2. Regional Custody Accounts

InterClear will give access to regional markets through accounts with Latin Clear (Panama), CEDEVAL (El Salvador), CENIVAL (Nicaragua), and CEVALDOM (Dominican Republic).

Through this service, depositors can acquire securities in such markets, domicile them in InterClear's accounts, receive consolidated information about their holdings, and access management services for financial and corporate events related to issues.

3. Investment Fund Platform (VESTIMA)

InterClear will provide a service to implement instructions for the purchase and sale of international investment funds through a settlement mechanism of delivery against payment. The service is linked to custody sub-accounts of depositors with CLB and give access to an offer higher than 100,000 funds.

To enable the service, depositors must send an application to InterClear indicating the ISIN code of the funds to link to their accounts, so that they are eligible for routing the orders.

4. Registration of Triparty Repo Service Transactions (TRS)

InterClear will provide a triparty repo service for transactions in international markets between two counterparties with accounts with CLB. To enable the service, the deposit must enter into a "Global Master Repurchase Agreement" and a "Collateral Management Service Agreement."

5. Access to Securities Lending (ASL and ASL Plus)

The international custody service through CLB will provide depositors with access to securities lending.

To be a borrower (ASL), the entity must process directly with CLB the granting of a line of credit to activate the system. As a requirement, CLB must be provided with a pool of acceptable collaterals by the custody entity as a guarantee of the securities lending transactions, and based on this, the amount of the line of credit will be defined.

To be a lender (ASL Plus), a formal note must be sent to InterClear indicating an interest in participating in the program as a lender. This is processed with CLB and it will be subject to the approval based on a prior study. Upon approval, the depositor must enter into an agreement to establish the rules and regulations applicable to the securities lending service.

All the operating details associated with the service through CLB are included in the International Custody Manual.

SECTION 7: SERVICE FEES

The Board of Directors of InterClear Central de Valores S.A., per Article 4, subparagraph 2 of the Minutes of Meeting 04-2015 approved the attached schedule of fees. The fees will be collected on a monthly basis during the first business days. The user entities must domicile InterClear's reserve accounts shown in this document, so that collections are done through real-time debits (DTR).

1. Fees for Balances of Holdings

TYPE OF FEE	COST DESCRIPTION	PERCENTAGE	CALCULATION BASIS
LOCAL CUSTODY	Holdings under local custody from ₡0 to ₡40,000 million	0.001650%	FACE VALUE OF THE HOLDINGS
LOCAL CUSTODY	Holdings under local custody for ₡40,000 million to ₡100,000 million	0.001100%	FACE VALUE OF THE HOLDINGS
LOCAL CUSTODY	Holdings under local custody higher than ₡100,000 million	0.000550%	FACE VALUE OF THE HOLDINGS
INTERNATIONAL CUSTODY	Holdings under international custody	0.003300%	FACE VALUE OF THE HOLDINGS
TRUST MANAGEMENT AND CUSTODY	Holdings of securities in trusts	0.001650%	FACE VALUE OF THE HOLDINGS

The custody fee is charged in colones on the daily average balance with InterClear (including colones and US dollars). The balance of the custody is calculated on the face value of the principals of the securities or securities under custody in the case of debt securities. In the case of shares and investment fund securities, the charges will be calculated on the market value using the same price benchmark applied to the tripartite repo valuation. If there is no market benchmark, it is charged on the face value. For custody fee collection purposes, dollar-denominated securities are translated to colones using the benchmark selling exchange rate established by the Central Bank of Costa Rica effective on the last business day in the month of the collection. In case of shares of financial group that are not listed in the Stock Exchange, the single fee is US\$85.00 a month.

2. Fees per Registered Movement

TYPE OF FEE	COST DESCRIPTION	FEES	CALCULATION BASIS
GENERAL	CONNECTION TO SYSTEMS (5 ACCESSES POR ENTITY)	\$ 200.00	MONTHLY PER ENTITY
GENERAL	SUPPORT TO SYSTEMS OR SPECIAL PROCESSING	\$ 50.00	PER MAN HOUR



Book Entry, Deposit of Securities, and Custody of Securities

Version: 2

Approval Date: June 07, 2017/ Effective Date: June 08, 2017

LOCAL CUSTODY	SUSCRPTION TO SECURITIES ACCOUNT SERVICE	\$ 350.00	MONTHLY PER CUSTODY ENTITY
BOOK ENTRY	ACCESS TO ISSUES ENTERED IN BOOKS	\$ 300.00	PER ISSUE
BOOK ENTRY	ISSUE MODIFYING ENTRIES	\$ 25.00	PER EVENT
BOOK ENTRY	ALLOCATION OF CODES FOR LOCAL TRADING ⁽¹⁾	\$ 50.00	PER REGISTRATION
LOCAL CUSTODY	MARKET SETTLEMENT SERVICE	\$ 200.00	MONTHLY PER SETTLEMENT AGENT
BOOK ENTRY	MAINTENANCE FEE FOR ISSUE REGISTRATION	\$ 500.00	ANNUAL PER ISSUER
LOCAL CUSTODY	TRANSFERS OF SECURITIES UNDER LOCAL CUSTODY	\$ 2.00	PER MOVEMENT
LOCAL CUSTODY	PAYMENT OF MATURITIES UNDER LOCAL CUSTODY	\$ 2.00	PER MOVEMENT
LOCAL CUSTODY	LOCAL INSTRUCTION PROCESSING	\$ 3.00	PER INSTRUCTION
LOCAL CUSTODY	PHYSICAL PAYMENT	\$ 2.50	PER MOVEMENT
LOCAL CUSTODY	PHYSICAL ENTRIES	\$ 2.50	PER MOVEMENT
LOCAL CUSTODY	VOLUNTARY RELEASE	\$ 2.50	PER MOVEMENT
LOCAL CUSTODY	VOLUNTARY RELEASE DUE TO EXTINCTION	\$ 150.00	PER ISSUE
LOCAL CUSTODY	INDIVIDUALIZATION OF SHARES	\$ 4.50	PER MOVEMENT
LOCAL CUSTODY	CORRECTION OR ERRORS WHEN TYPING PREVIOUS DELIVERIES	\$ 50.00	PER EVENT
LOCAL CUSTODY	PENALTY FOR LATE DELIVERY OF SHAREHOLDER FORMS	\$ 10.00	DAILY PER ACCOUNT
INTERNATIONAL CUSTODY	INTERNATIONAL INSTRUCTIONS (4F, 5F, 41, and 51)	\$ 16.25	PER INSTRUCTION
INTERNATIONAL CUSTODY	INTERNATIONAL INSTRUCTIONS (90)	\$ 21.50	PER INSTRUCTION

¹ Placements in teller windows registered in InterClear's previous delivery system will have a primary market fee and a collection of US\$2.00 per account registration as set forth in the business rules of the Costa Rican Stock Exchange.



Book Entry, Deposit of Securities, and Custody of Securities

Version: 2

Approval Date: June 07, 2017/ Effective Date: June 08, 2017

INTERNATIONAL CUSTODY	INTERNATIONAL INSTRUCTIONS (FUND ADVANCE NOTICES)	\$ 10.00	PER INSTRUCTION
INTERNATIONAL CUSTODY	INTERNATIONAL INSTRUCTIONS (VOLUNTARY CORPORATE EVENTS)	\$ 65.00	PER EVENT
INTERNATIONAL CUSTODY	INTERNATIONAL INSTRUCTIONS (MANDATORY CORPORATE EVENTS)	\$ 45.00	PER EVENT
INTERNATIONAL CUSTODY	PAYMENT OF DIVIDENDS AND INTERNATIONAL COUPONS	\$ 7.00	PER MOVEMENT
INTERNATIONAL CUSTODY	REDEMPTION PAYMENT	\$ 15.00	PER MOVEMENT
INTERNATIONAL CUSTODY	CALCULATION OF NET ADJUSTMENTS TO SUB-ACCOUNTS PER LOCAL TRANSACTION	\$ 10.00	DAILY PER ENTITY
INTERNATIONAL CUSTODY	INTERNATIONAL TAX PROCESSING	\$ 100.00	PER PROCESSING
INTERNATIONAL CUSTODY	OPERATING PROCESSING DUE TO NON-INCLUSION OF ADVANCE NOTICES	\$ 45.00	PER INSTRUCTION
INTERNATIONAL CUSTODY	VESTIMA PLATFORM ORDER ROUTING	\$ 12.00	PER INSTRUCTION
INTERNATIONAL CUSTODY	INTERNATIONAL CUSTODY ISSUE REGISGTRATION	\$ 20.00	PER REGISTRATION
TRUST MANAGEMENT	PAYMENT OF MATURITIES OF TRUSTS	\$ 10.00	PER ISSUE - PER EVENT
TRUST MANAGEMENT	TRUST INSTRUCTION MANAGEMENT	\$ 3.00	POR EMISIÓN PER EVENT
TRUST MANAGEMENT	SUBROGATION OF POSITIONS IN TRUSTS	\$ 20.00	PER TRANSACTION
TRUST MANAGEMENT	EARLY RELEASE OF TRUST SECURTIES	\$ 10.00	PER TRANSACTION
TRUST MANAGEMENT	REGISTRATION OF ADDITIONAL CONTRIBUTIONS	\$ 10.00	PER ISSUE - PER EVENT
LOCAL CUSTODY	ISR WITHHOLDING REFUND	0.50%	FLAT ON THE AMOUNT OF THE REFUND
INTERNATIONAL CUSTODY	RATE OF OVERDRAFTS UNDER INTERNATIONAL CUSTODY		PRIME + 500BPS ON THE AMOUNT OF THE OVERDRAFT

3. Information Service Fees

TYPE OF FEE	COST DESCRIPTION	FEE	CALCULATION BASIS
GENERAL	ISSUANCE OF CERTIFICATIONS	\$ 10.00	PER UNIT



Book Entry, Deposit of Securities, and Custody of Securities

Version: 2

Approval Date: June 07, 2017/ Effective Date: June 08, 2017

GENERAL	QUERIES OF HISTORICAL MOVEMENTS	\$ 100.00	PER MONTH PER SECURITIES ACCOUNT
GENERAL	AUDITS OR VERIFICATIONS	\$ 100.00	PER HOUR OF SERVICE
GENERAL	REPLY TO CONFIRMATIONS OF BALANCES	\$ 20.00	PER EVENT
INTERNATIONAL	NOTIFICATION OF EVENTS OF INTERNATIONAL CUSTODY	\$ 0.50	PER EVENT
INTERNATIONAL	INTERNATIONAL TRANSACTION REPORTS	\$ 1.00	PER REPORT
INTERNATIONAL	INTERNATIONAL CUSTODY PORTFOLIO REPORTS	\$ 1.00	PER REPORT
INTERNATIONAL	REPORTS OF COST PER ITEM OF CONTENTS	\$ 0.10	PER ITEM IN THE REPORT
INTERNATIONAL	REPORTS OF INSTRUCTIONS STATUS	\$ 1.00	PER REPORT
INTERNATIONAL	CONSOLIDATED CASH BALANCE REPORTS	\$ 6.00	PER REPORT
INTERNATIONAL	INTERNATIONAL MATURITY FORECAST REPORTS	\$ 1.00	PER REPORT
INTERNATIONAL	REPORTS OF COST PER ITEM OF CONTENTS	\$ 1.00	PER ITEM IN THE REPORT

(FORM 2)
ACCOUNT REGISTRATION FOR PAYMENT OF MATURITIES

Depositor data

Depositor name _____

Corporate number _____

Email for confirmation: _____

SINPE Customer Account Colones (17 digits) _____

SINPE Customer Account Dollars (17 digits) _____

SINPE Customer Account Euros (17 digits) _____

Authorization

THE DEPOSITOR, with corporate ID number ***PRINT IN LETTERS***, represented by ***NAME OF LEGAL REPRESENTATIVE, CAPACITIES***, ID number ***PRINT IN LETTERS***, in the capacity of ***POSITION*** of the corporation and as universal agent, as stated in the Mercantile Section of the Public Registry, ***PRINT IN LETTERS***, hereby authorize InterClear Central de Valores S.A., in the capacity of depository, to transfer the funds of the maturities of the securities deposited in the vaults to the aforementioned customer accounts.

I expressly release InterClear from any problems related to complying with the transfers herein authorized or the transfer mechanisms of the National Electronic Payment System (SINPE)

Signature of Legal Representative

(FORM 4)

Debt Instruments Registration Form

GENERAL DATA OF THE ISSUER AND THE ISSUE

1 Issuer Name

2 Domicile

3 Telephone 1 City, Country
Telephone 2 Fax 1
Fax 2

4 Economic Sector

5 Sugeval Agreement ¹ 6 Date of the agreement ¹

¹. For the public sector, number and date of Law or Decree authorizing the issue.

7 Risk Rating YES Risk rating granted
Risk rating agency

8 Guarantee (collateral) Otros (explique) (explain others)

9 Currency

10 Series 12 characters maximum

11 Type of Value (explain others)

12 Circulation Law 13 Representation

14 Issue date DD/MM/YYYY

15 Expiration date DD/MM/YYYY

16 Interest accrual as of: DD/MM/YYYY 16.1 Payment date

*If the issue has flows different from the coupon payments, please indicate if they apply to the beginning or end of the term.

17 Calculation Basis 30/360 Issue Term

18 Amount of the issue

19 Total face value YES

20 Multiples YES

21 Tax Treatment 0% (No Aplica IR) (explain others)

22 Interest rate Fija For Fixed fill out a. For Variable fill out b1 to b4 (explain others)

a. Net Fixed Interest Rate 0.00% Gross Rate 0.00%

b1. Benchmark Variable Rate (It will be understood as fixed two days before the issue date) (explain others)

b2. Premium 0.00% (explain others)

b3. Floor rate YES 0.00% (explain others)

b4. Ceiling rate YES 0.00% (explain others)

23 Interest frequency

24 Amortizations YES Fill out Amortization Schedule 25 Options YES Fill out Options Table

Issuer Signature

AMORTIZATION SCHEDULE

	Date	Amortization Percentage	Face Value	Notes
1			-	Amortization start date
2			-	
3			-	
4			-	
5			-	
6			-	
7			-	
8			-	
9			-	
10			-	
11			-	
12			-	
13			-	
14			-	
15			-	
16			-	
17			-	
18			-	
19			-	
20			-	
21			-	
22			-	
23			-	
24			-	
25			-	

OPTIONS TABLE

	Date	Type (CALL or PUT)	Price
1			-
2			-
3			-
4			-
5			-
6			-
7			-
8			-
9			-
10			-
11			-
12			-
13			-
14			-
15			-
16			-
17			-
18			-
19			-
20			-
21			-
22			-
23			-
24			-
25			-

PAYING BANK REGISTER

This form is used for:

- 1. New issuers - mandatory
- 2. Registered issuers that need to change their Paying Bank

Issuer Name:

Liaison executives

First and last name:	Email
1 _____	_____
2 _____	_____
3 _____	_____

Domicile	<input type="text" value="0"/>	City, Country	<input type="text" value="0"/>
Telephone 1	<input type="text" value="0"/>	Fax 1	<input type="text" value="0"/>
Telephone 2	<input type="text" value="0"/>	Fax 2	<input type="text" value="0"/>

Choose the communication method required

Representing brokerage house _____

Paying Bank 1

Bank Officers

First and last name:	Email
1 _____	_____
2 _____	_____
3 _____	_____

Domicile	_____	City, Country	_____
Telephone 1	_____	Fax 1	_____
Telephone 2	_____	Fax 2	_____

Paying Bank 2

Bank Officers

First and last name:	Email
1 _____	_____
2 _____	_____
3 _____	_____

Domicile	_____	City, Country	_____
Telephone 1	_____	Fax 1	_____
Telephone 2	_____	Fax 2	_____

Issuer signature _____



Issuer name:

1. Choose the type of issue to be registered:

- | | | |
|-------------------------------------------------|--------------------------|------------------|
| B = Bonds | <input type="checkbox"/> | Fill out item #2 |
| C = Convertible bonds | <input type="checkbox"/> | Fill out item #3 |
| G = Mortgage securities | <input type="checkbox"/> | Fill out item #4 |
| A = Accounts receivable-backed securities | <input type="checkbox"/> | Fill out item #5 |
| N = Municipal bonds | <input type="checkbox"/> | Fill out item #6 |
| Y = Money market instruments (commercial paper) | <input type="checkbox"/> | Fill out item #7 |
| D = Certificates of deposit of debt securities | <input type="checkbox"/> | Fill out item #8 |
| M = Other (miscellaneous) | <input type="checkbox"/> | Fill out item #9 |

Based on the choice made above, select the information to be detailed below:

2. Bonds

- | | |
|----------------------------------|----------------------|
| Interest rate or payment in cash | <input type="text"/> |
| Guarantees or ranking | <input type="text"/> |
| Payment status | <input type="text"/> |
| Amortization/reimbursement | <input type="text"/> |
| Type | <input type="text"/> |

3. Convertible bonds

- | | |
|---------------|----------------------|
| Interest rate | <input type="text"/> |
|---------------|----------------------|



Payment of any type

Amortization - reimbursement

Type

4. Mortgage securities

Interest rate

Guarantees or ranking

Amortization - reimbursement

Type

5. Accounts receivable-backed securities

Interest rate

Guarantees or ranking

Amortization

Type

6. Municipal bonds

Interest rate

Guarantees or ranking

Amortization

Type



7. Money market Instruments

Interest rate

Guarantees or ranking

Not applicable

Type

8. Certificates of deposit of debt securities

Instrumental unit

Interest rate

Guarantees or ranking

Amortization - reimbursement

9. Other (miscellaneous)

Type

Not applicable

Not applicable

Type

Issuer Signature

(FORM 5)

Shares and Closed-End Fund Registration Form

GENERAL DATA OF THE ISSUER AND THE ISSUE

1 Issuer Name

2 Domicile

City, Country

3 Telephone 1 Fax 1

Telephone 2 Fax 2

4 Economic Sector

5 Sugeval Agreement ¹ 6 Date of the Agreement ¹

¹ For the public sector, number and date of Law or Decree authorizing the issue.

7 Guarantee (collateral)

8 Currency

9 Series 12 characters maximum

10 Type of Value

(explain others)

11 Dividends (In each case, describe how the dividends are reported)

Preferred YES

Common YES

Others YES

12 Tax treatment

(explain others)

13 Circulation Law

14 Representation

15 Number of securities

16 Face value

Authorized amount

Issuer signature

PAYING BANK REGISTER

This form is used for:
1. New issuers - mandatorily
2. Registered issuers that have to change their Paying Bank

Issuer Name:

Liaison executives

First and last name: Email

- 1
- 2
- 3

Domicile

City, Country

Telephone 1

Fax 1

Telephone 2

Fax 2

Choose the communication method required

Representing Brokerage house

Paying Bank 1

Bank Officers

First and last name: Email

- 1
- 2
- 3

Domicile

City, Country

Telephone 1

Fax 1

Telephone 2

Fax 2

Paying Bank 2

Bank Officers

First and last name: Email

- 1
- 2
- 3

Domicile

City, Country

Telephone 1

Fax 1

Telephone 2

Fax 2

Issuer signature



InterClear Central de Valores
CFI Code Generation
Form for Shares

Issuer name:

1. Choose the type of issue to be registered:

- Common/ordinary shares Fill out item #2
- Convertible common/ordinary shares Fill out item #3
- Preferred/preference shares Fill out item #4
- Convertible Preferred/preference shares Fill out item #5

According to the choice made above, select the information to be detailed below:

2. Common/ordinary shares

Voting right

Ownership – transfer restrictions

Payment status

Type

3. Convertible common/ordinary shares

Voting right

Ownership – transfer

Payment status

Type



InterClear Central de Valores
CFI Code Generation
Form for Shares

4. Preferred/preference shares:

Voting right

Amortization

Income

Type

5. Convertible preferred/preference shares

Voting right

Amortization

Income

Type

Issuer Signature



InterClear Central de Valores
CFI Code Generation
Form for Funds

Issuer name:

1. Choose the type of issue to be registered:

Standard/common investment funds	Fill out item #2
Real Estate Investment Trusts (REIT)	Fill out item #3
Funds of funds	Fill out item #4
Other (miscellaneous)	Fill out item #5

Based on the choice made above, select the information to be detailed below:

2. Standard/common investment funds

Trading unit	<input type="text"/>
Distribution policy	<input type="text"/>
Underlying assets	<input type="text"/>
Type of securities and investment restrictions	<input type="text"/>

3. Real Estate Investment Trusts (REIT)

Trading unit	<input type="text"/>
Distribution policy	<input type="text"/>
Not applicable	<input type="text"/>
Type of securities and investment restrictions	<input type="text"/>

4. Funds of funds

Trading unit	<input type="text"/>
--------------	----------------------



InterClear Central de Valores
CFI Code Generation
Form for Funds

Distribution policy

Not applicable

Type of securities and investment restrictions

5. Others (miscellaneous)

Not applicable

Not applicable

Not applicable

Type of securities and investment restrictions

Issuer Signature

(FORM 6)

BOOK ENTRY SECURITIES MOVEMENT

DATE: _____

Pledge and immobilize on behalf of the secured creditor the following securities recorded in the book-entry system that this entity keeps under the custody of InterClear.

(Financial Creditor Entity)

Corporate ID number _____

Telephone _____ Fax _____

Transaction Number	ACCOUNT NO.	ISSUER	ISIN-SERIES.	SECURITY NO.	EXPIRATION DATE	NUMBER OF SECURITIES

TOTAL SECURITIES:
GENERAL TOTAL:

Sincerely,

Signature of Legal Representative

I, the undersigned, hereby give my consent to pledge the securities and to hold InterClear, S.A. harmless from any liability for strictly observing the following instructions.

(FORM 7)

SECURITIES RELEASE

DATE: _____

I hereby release the following securities that are pledged at InterClear in favor of my client:

Transaction Number	ACCOUNT NO.	ISSUER	ISIN-SERIES.	EXPIRATION DATE	NUMBER OF SECURITIES

TOTAL SECURITIES:
TOTAL GENERAL:

Sincerely,

Signature of Legal Representative

I, the undersigned, hereby give my consent to the unpledging the securities and to hold InterClear, S.A. harmless from any liabilities for strictly observing the following instructions.

(FORM 8)
Exempt Investor Registration

The information contained in this form is confidential and will be solely used for ease of recording of exempt investors at InterClear:

Date: _____

Participant entity information:

Entity: _____ Name of Entity: _____

Type of Entity: _____

Address: _____

Telephone: _____

Fax: _____

PO Box: _____

Name of Legal Representative: _____

Last name, First name

Exempt investor account information:

DGT Official letter	Date	Account	Type	Identification document	Description

(see enclosed instructions)

_____ -

Signature of
Legal Representative

Instructions

- DGT Official Letter: Number of official letter issued by the Costa Rican Tax Authorities (DGT)
- Date of Official Letter: Date of issue of DGT official letter

FORM 9

**AUTHORIZED SIGNATURE REGISTER
TO VERIFY THE AUTHENTICITY OF SECURITIES
AND THE EXISTENCE OF STOP ORDERS**



ISSUER: _____

AUTHORIZED INDIVIDUALS TO SIGN AUTHENCITY SEAL

1 _____	_____	_____	_____
NAME AND LAST NAME	POSITION	SIGNATURE	ID NUMBER
2 _____	_____	_____	_____
NAME AND LAST NAME	POSITION	SIGNATURE	ID NUMBER
3 _____	_____	_____	_____
NAME AND LAST NAME	POSITION	SIGNATURE	ID NUMBER
4 _____	_____	_____	_____
NAME AND LAST NAME	POSITION	SIGNATURE	ID NUMBER
5 _____	_____	_____	_____
NAME AND LAST NAME	POSITION	SIGNATURE	ID NUMBER

OTHER OBSERVATIONS: _____

This register voids any previous register.

PLACE AND DATE: _____ Embossed seal _____

SIGNATURE OF LEGAL REPRESENTATIVE

The undersigned Notary Public certifies that the preceding signatures are authentic and were affixed before him. This authentication is hereby issued for the internal purposes of INTERCLEAR Central de Valores S.A.