

# List of Charges Regulatory Bodies

(List of Charges RegBod, LocRB)

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Entry into force: 2 May 2019

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*Basis Art. 63 LR*

## **1 Purpose**

According to Art. 63 LR, fees, as set out in the applicable List of Charges (List of Charges Regulatory Bodies and/or List of Charges under the Listing Rules), are charged for listing securities and for maintaining listing, as well as for sanction and appeal proceedings.

## **2 Scope of applicability**

The List of Charges Regulatory Bodies applies to all individuals and businesses that have agreed to be subject to the rules and regulations of the trading venue SIX Swiss Exchange Ltd.

## **3 Catalogue of charges**

### **3.1 Application for exemption and preliminary ruling**

<sup>1</sup> For processing applications for exemptions pursuant to Art. 7 LR or for preliminary rulings pursuant to Art. 48 LR, a charge is levied. It is based on the effective expenditure incurred.

<sup>2</sup> The charge is payable in all instances and may not be set off against charges levied for a listing that takes place at some later date.

### **3.2 Withdrawal of applications**

If an application is withdrawn, the charges incurred for work already done may still be levied.

### **3.3 Providing written information**

The provision of written information to the applicant may be invoiced according to the time required for its preparation. The applicant must be informed in advance that an invoice will be issued for these costs.

### **3.4 Extraordinary expenditures and thirdparty/expert costs**

<sup>1</sup> For extraordinary expenses incurred in the processing of applications, SIX Exchange Regulation AG may levy additional charges based on the expenditure incurred.

<sup>2</sup> Costs invoiced by experts and other third parties are passed on to the applicant in full. The applicant must be informed in advance that third parties or experts are to be engaged, and that the resulting costs must be borne by the applicant.

<sup>3</sup> An additional flat charge of a maximum of CHF 20,000 may be levied for the accelerated processing of a transaction in response to a request from the applicant that gives good reasons for doing so.

### **3.5 Registration as recognised representation**

A fee of CHF 5,000 will be charged for processing an application for registration as a recognised representation in accordance with Article 58a LR (including experienced specialists).

*See also*

- Directive Recognised Representation (DRR)

### **3.6 Registration as an experienced specialist and other applications**

<sup>1</sup> A fee of CHF 500 will be charged for processing an application submitted by other experienced specialists.

<sup>2</sup> The fee for processing other applications (e.g. for the amendment of a registration decision relating to the product area) will be determined on the basis of the expenditure incurred; said fee will amount to at least CHF 500.

*See also*

- Directive Recognised Representation (DRR)

### **3.7 Sanction and appeal proceedings**

In case of sanction or appeal proceedings, the charges are determined based on the expenditure incurred.

### **3.8 Expenses**

Postage, courier and notarisation costs and similar expenses are passed on to the application in full.

### **3.9 Seminar attendance**

Attendance fees may be charged for seminars held by regulatory bodies.

## **4 Common provisions**

### **4.1 Charges based on the expenditure incurred**

Where a charge is levied based on the expenditure incurred, the rate applied is CHF 300 per person and hour.

### **4.2 Advance payment**

SIX Exchange Regulation AG, the Regulatory Board and its Committees, the Sanctions Commission and the Appeals Board may demand an advance payment corresponding to the probable costs of their work.

### **4.3 Payment deadline**

<sup>1</sup> Unless agreed otherwise, invoices are payable within 30 days of issue.

<sup>2</sup> Default interest of 10% p.a. may be charged on late payments.

## **5 Final provisions**

### **5.1 Entry into force**

This List of Charges enters into force on 1 May 2018.

### **5.2 Revisions**

The revision of Articles 3.5 and 3.6 decreed by the Issuers Committee in its resolution of 14 September 2018 will enter into force on 2 May 2019.