

List of Charges Regulatory Bodies

(List of Charges RegBod, LocRB)

Dated 20 March 2018

Entry into force: 1 May 2018



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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

¹ 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.

² 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If an application is withdrawn, the charges incurred for work already done may still be levied.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

¹ For extraordinary expenses incurred in the processing of applications, SIX Exchange Regulation Ltd may levy additional charges based on the expenditure incurred.

² 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.

³ 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 Recognition as a knowledgeable representative

For the processing of applications for recognition as a knowledgeable representative in accordance with Art. 43 LR, a flat charge of CHF 5,000 is levied.

See also

– Directive Recognised Representatives (DRR)

3.6 Extension of recognition as a knowledgeable representative

For the processing of applications to extend a recognition as a knowledgeable representative in accordance with Art. 43 LR, a flat charge of CHF 2,000 is levied.

See also

– Directive Recognised Representatives (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 Ltd, 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

¹ Unless agreed otherwise, invoices are payable within 30 days of issue.

² 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.