

REGULATORY BOARD COMMUNIQUÉ NO. 4/2011 OF 9 DECEMBER 2011

Amendments to the Rule Book

Entry into force: 1 January 2012

I. BACKGROUND

The addition to the Stock Exchange Ordinance (SESTO) to permit the admission of unsupervised foreign proprietary dealers (SESTO Art. 53a, in force since 1 August 2011), and the entry into force of the Federal Code of Civil Procedure effective 1 January 2011, necessitate two editorial amendments to the Rule Book.

II. AMENDMENTS

Firstly, Point 3.1 is to be amended to reflect the new situation, and the restriction that authorisation may relate only to foreign securities dealers is to be deleted. Relevant here is FINMA authorisation as a foreign member of the Exchange, be it as a foreign securities dealer (SESTO Art. 53) or as an unsupervised foreign proprietary dealer (SESTO Art. 53a). The arbitration clause (Point 24) will nonetheless be amended owing to the introduction of the Federal Code of Civil Procedure (in force since 1 January 2011).

Regulatory Board Communiqués are published in English, German and French on the internet at:

http://www.six-exchange-regulation.com/publications/communiques/regulatory_board_en.html

http://www.six-exchange-regulation.com/publications/communiques/regulatory_board_de.html

http://www.six-exchange-regulation.com/publications/communiques/regulatory_board_fr.html

