



SIX Swiss Exchange Ltd

List of Charges under the Listing Rules

(List of Charges under the Listing Rules, LOC)

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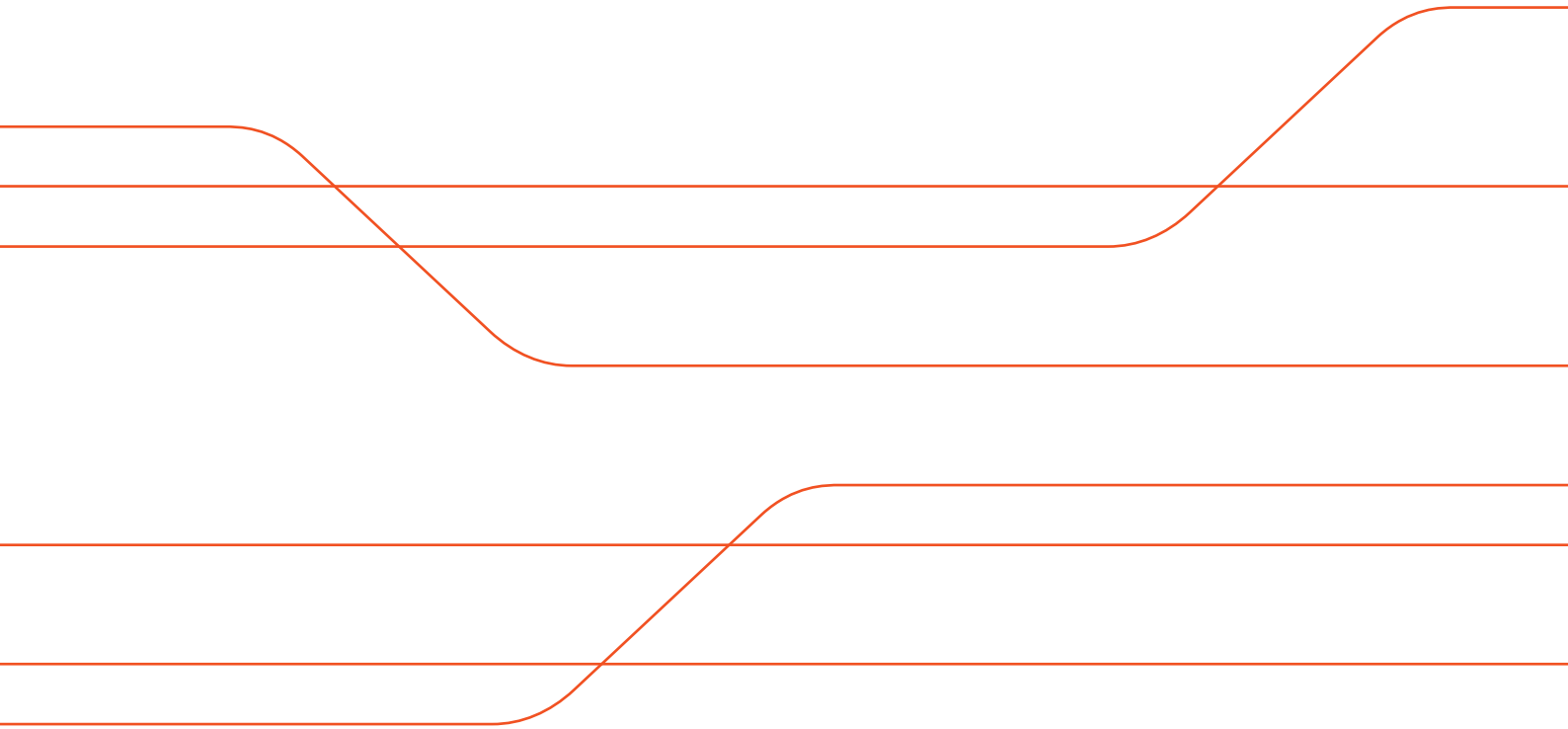


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1 Purpose, scope and list of fees

1.1 Purpose

¹ According to Art. 63 LR, fees are charged under the List of Charges for listing securities and for maintaining listing, as well as for sanction and appeal proceedings (List of Charges under the Listing Rules and List of Charges for Regulatory Bodies).

² Fees may be wholly or partly waived providing all issuers are treated equally.

1.2 Scope

This List of Charges under the Listing Rules applies to all issuers, as well as further persons who have submitted themselves to the rules of SIX Swiss Exchange Ltd ("SIX Swiss Exchange").

1.3 List of fees

This List of Charges under the Listing Rules governs the following fees:

- Listing and maintaining listing of equity securities
- Listing and maintaining listing of collective investment schemes
- Listing of bonds
- Listing of derivatives
- Listing and maintaining listing of Exchange Traded Products (ETPs)
- Other services and authorisations

2 Fees for listing and maintaining listing of equity securities

2.1 Listing of equity securities

2.1.1 Basic charge for the listing application

A basic charge of CHF 3,000 is levied for the processing of a listing application.

2.1.2 Variable charge for new equity securities

¹ For the listing of new equity securities, a variable charge of CHF 10 per CHF one million of capitalisation is levied.

² This variable charge shall not exceed a maximum of CHF 80,000 for new issuers. In the case of a capital increase, the charge shall not exceed a maximum of CHF 50,000.

2.1.3 Additional charge for new issuer

If the issuer of the securities to be listed has not previously had any securities listed ("new issuer") with SIX Swiss Exchange Ltd ("SIX Swiss Exchange"), an additional non-recurring charge of CHF 10,000 is levied.

2.1.4 Additional charge for the listing prospectus

For the examination of the listing prospectus, an additional charge of CHF 5,000 is levied.

2.1.5 Additional charge for additional securities

If an application simultaneously requests the listing of several securities, an additional charge of CHF 2,000 per additional security is levied.

2.1.6 Conditional capital

For the listing of securities out of conditional capital, the charge described in Clause 2.1.2 above is not levied. If the listing of securities out of conditional capital is applied for simultaneously with the admission to trading of convertible rights or option rights, no charge is levied for the listing of securities out of conditional capital.

2.1.7 Flat charge for the secondary listing of equity securities

¹ For the secondary listing on SIX Swiss Exchange of securities of foreign issuers that are already listed on a regulated market with equivalent listing regulations in the given issuer's country of domicile or in some third country (home exchange), a flat charge of CHF 5,000 is levied. No further charges are levied in this regard.

² No charges are levied for capital transactions conducted by issuers who have equity securities listed on SIX Swiss Exchange on a secondary basis.

See also

- Directive Foreign Companies (DFC)

2.1.8 Flat charge for separate trading line

If a separate trading line is to be opened in connection with the buy-back of the issuer's own equities or a public takeover offer, a flat charge of CHF 3,000 is levied. This charge covers the cost of maintaining the separate trading line for up to a maximum period of three months.

2.1.9 Additional charge for separate trading line

If a separate trading line is to be maintained for more than three months, an additional charge of CHF 1,000 per quarter of duration is levied at the time the separate line is opened or prolonged.

See also

- Directive Complex Financial History (DCFH)
- Directive Procedures Equity Securities (DPES)

2.1.10 Flat charge for shareholder and employee options

¹ If shareholder options are to be listed in connection with the buy-back of the issuer's own securities or the issue of securities, a flat charge of CHF 3,000 is levied.

² If employee options are listed by the issuer, a flat charge of CHF 3,000 is levied.

2.2 Maintaining listing of equity securities

2.2.1 Annual basic charge

For maintaining listing, an annual basic charge of CHF 6,000 is levied for each listed security.

2.2.2 Annual variable charge

¹ In addition, an annual variable charge of CHF 10 per CHF one million of capitalisation is levied.

² This variable charge shall not exceed a maximum of CHF 50,000.

3 Fees for listing and maintaining listing of collective investment schemes

3.1 Listing of collective investment schemes

3.1.1 Basic charge for the listing application

A basic charge of CHF 3,000 is levied for the processing of a listing application.

3.1.2 Additional charge for new issuer

For the listing of units of a new collective investment scheme or a new legal entity, an additional, non-recurring charge of CHF 10,000 is levied.

3.1.3 Additional charge for additional securities

¹ If simultaneous application is being made for the listing of several collective investment schemes of the same issuer and with the same underlying name (e.g. sector funds), an additional charge of CHF 2,000 is levied for each additional collective investment scheme.

² If, at later point in time additional collective investment schemes of the same issuer are to be listed after the initial listing of a collective investment scheme under the same legal structure, an additional charge of CHF 2,000 is levied for each additional collective investment scheme.

3.1.4 Additional charge for other trading currencies

An additional charge of CHF 1,000 is levied for each security if an application for trading in one or more additional trading currencies is submitted for one or more collective investment schemes.

3.2 Maintaining listing of collective investment schemes

3.2.1 Annual basic charge

For maintaining listing(s), an annual charge calculated as a function of the number of listed collective investment schemes of the same issuer is levied as follows:

- a) 1 to 10 collective investment schemes: CHF 3,000 for each listed security;
- b) 11 to 20 collective investment schemes: CHF 1,500 for each listed security;
- c) 21 to 30 collective investment schemes: CHF 1,000 for each listed security;
- d) 31 or more collective investment schemes: CHF 500 for each listed security.

4 Fees for the listing of bonds

4.1 Listing of bonds

4.1.1 Basic charge for the listing application

A basic charge of CHF 2,000 is levied for the processing of a listing application.

4.1.2 Variable charge for new bond or increase

¹ For the listing of new bond issues as well as for increases in existing listed bonds, a variable charge of CHF 10 per CHF one million of the total nominal amount of the new or increased tranche is levied.

² For the listing of new bond issues as well as for increases in existing listed foreign-currency bonds, a variable charge of CHF 10 per CHF one million of the total nominal amount converted into CHF of the new or increased tranche is levied.

4.1.3 Additional charge for new issuer

¹ If the issuer of the securities to be listed has not previously had any securities listed on the SIX Swiss Exchange, an additional non-recurring charge of CHF 10,000 is levied.

² New issuers within the context of the List of Charges under the Listing Rules are those that have not had any securities listed on the SIX Swiss Exchange for longer than three years.

4.1.4 Additional charge for the listing prospectus

For the examination of the listing prospectus, an additional charge of CHF 5,000 is levied.

4.1.5 Flat charge for the examination and registration of issue programmes

For the examination and registration of issue programmes, a flat charge of CHF 6,000 is levied.

4.1.6 Flat charge for the reissuance of issue programmes

For the re-examination and registration of issue programmes, a flat charge of CHF 3,000 is levied.

4.1.7 Additional charge for the listing prospectus for issue programmes

An additional charge of CHF 2,000 is levied for the examination of a listing prospectus drawn up on the basis of an issue programme approved by the Regulatory Board.

4.1.8 Fee for bonds with a maximum term of 12 months

¹ A charge of CHF 5,000 is levied for the processing of a listing application for bonds with a maximum term of 12 months that are issued based on an issue programme.

² Clauses 4.1.1, 4.1.2 and 4.1.7 of the List of Charges under the Listing Rules do not apply.

5 Fee for the listing of derivatives

5.1 Listing of derivatives

5.1.1 Principle

¹ For the admission of derivatives to trading, a fee per derivative is charged according to the following table:

| Number of derivatives | Fee per derivative |
|-----------------------|--------------------|
| 0-200 | CHF 350 |
| 201-500 | CHF 250 |
| 501-1,000 | CHF 180 |
| 1,001-2,000 | CHF 140 |
| 2,001-5,000 | CHF 110 |
| 5,001-7,500 | CHF 85 |
| 7,501-10,000 | CHF 60 |
| from 10,001 | CHF 50 |

² The fees that are due are invoiced on a monthly basis.

5.1.1.1 Basis of calculation

The fee referred to in Clause 5.1.1 is calculated on the basis of the number of derivatives from the same issuer that are admitted to trading for the first time during the current calendar year. The number of derivatives referred to in Clause 5.1.1 is determined per calendar year.

5.1.1.2 Group companies

For the purposes of determining the number of derivatives in accordance with Clause 5.1.1, derivatives from issuers which are group companies within the same group are counted together. However, this does not apply to subsidiaries that, whether directly or indirectly, are less than 50% owned by the parent company of the group.

5.1.2 Additional charge for "stand-alone prospectus" derivatives

In the case of a derivative based on a "stand-alone prospectus" (Art. 22 para. 1 Additional Rules Derivatives), an additional charge of CHF 1,000 is levied.

5.1.3 Flat charge for the examination and registration of derivatives programmes

For the examination and registration of derivatives programmes, a charge of CHF 6,000 is levied.

5.1.4 Flat charge for the reissuance of derivatives programmes

For the re-examination and re-registration of derivatives programmes, a charge of CHF 6,000 is levied.

5.1.5 Additional charge for new issuer

¹ In the case of the approval of an issuer that has not previously had any securities listed on SIX Swiss Exchange, a flat charge of CHF 10,000 is levied.

² New issuers within the context of the List of Charges under the Listing Rules are those that have not had any securities listed on the SIX Swiss Exchange for longer than three years.

5.1.6 Charge for adjustments to erroneous entries in CONNEXOR Listing

For adjustments that must be made owing to erroneous entries in CONNEXOR Listing, a charge of CHF 100 per security is levied.

5.1.7 Starter discount

¹ For an issuer having derivatives admitted to trading for the first time, the fees for the admission to trading of the first ten derivatives are waived.

² Entitlement to this discount lapses 12 months after the first derivative has been admitted to trading.

³ Issuers which are group companies within a group in the sense of Clause 5.1.1.2 are not entitled to the starter discount.

6 Fees for listing and maintaining listing of Exchange Traded Products (ETPs)

6.1 Listing of Exchange Traded Products (ETPs)

6.1.1 Basic charge for the listing application

A basic charge of CHF 2,000 is levied for the processing of a listing application.

6.1.2 Additional charge for new issuer

An additional, non-recurring charge of CHF 10,000 is levied for the listing of ETPs from new issuers.

6.1.3 Additional charge for other trading currencies

An additional charge of CHF 1,000 is levied for each ETP if an application for trading in one or more additional trading currencies is submitted for one or more ETPs.

6.1.4 Additional charge for "stand-alone prospectus" ETPs

An additional charge of CHF 3,000 is levied for the examination of a "stand-alone prospectus".

6.1.5 Additional charge for the listing prospectus with reference to approved listing prospectus

An additional charge of CHF 2,000 is levied for the examination of a listing prospectus which, in the sense of Art. 35 para. 4 LR, refers to a listing prospectus that has already been approved with regard, at least, to the issuer, the guarantor, the parties involved in the structure of the ETP, and the collateralisation mechanism.

6.1.6 Flat charge for the examination and registration of issue programmes

A charge of CHF 5,000 is levied for the examination and registration of issue programmes.

6.1.7 Flat charge for the reissuance of issue programmes

A flat charge of CHF 3,000 is levied for the re-examination and registration of issue programmes.

6.1.8 Additional charge for the listing prospectus for issue programmes

An additional charge of CHF 1,500 is levied per ETP for the examination of a listing prospectus drawn up on the basis of an approved issue programme.

6.2 Maintaining listing of Exchange Traded Products (ETPs)

6.2.1 Annual basic charge

For maintaining listing, an annual charge, calculated as a function of the number of listed ETPs from the same issuer, is levied as follows:

- a) 1 to 10 ETPs: CHF 3,000 for each listed ETP;
- b) 11 to 20 ETPs: CHF 1,500 for each listed ETP;
- c) 21 to 30 ETPs: CHF 1,000 for each listed ETP;
- d) 31 and more ETPs: CHF 500 for each listed ETP.

7 Other services and authorisations

7.1 Delisting

¹ As a rule, no charge is levied for processing a delisting application for equity securities.

² For processing a delisting application for derivatives or Exchange Traded Products that is not initiated based on an express provision of the applicable conditions, a flat charge of CHF 300 per derivative or ETP is levied.

³ Where ten or more derivatives or ETPs are delisted at the same time, the flat charge will be a maximum of CHF 3,000.

See also

- Directive Delisting (DD)

7.2 Withdrawal of applications

If an application is withdrawn, the charges incurred as per the List of Charges under the Listing Rules may still be levied.

7.3 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.

7.4 Extraordinary expenditures and third party/expert costs

¹ For extraordinary expenses incurred in the processing of applications, additional charges may be levied according to the time and cost involved.

² The costs of engaging third parties and experts will be charged on in accordance with the invoices submitted by those third parties or experts. 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.

7.5 Expenses

Expenses such as non-standard postage, notarisation fees and similar will be charged on to the applicant according to the costs actually incurred.

8 General provisions

8.1 Invoicing

The following rules apply to invoicing:

8.1.1 Upon listing of equity securities

Invoicing of listing charges is effected at the time the formal listing decision is pronounced or on the first trading day of the new security.

8.1.2 Upon listing of bonds

Invoicing of listing charges is effected at the time the formal listing decision is pronounced, regardless of any prior provisional admission to trading.

8.1.3 Upon listing of derivatives

In the case of derivatives that have first been provisionally admitted to trading in accordance with Art. 32 seqq. Additional Rules Derivatives, invoicing of listing charges is effected at the time provisional admission to trading is granted. Such charges shall not be reimbursed in the event that no listing application is subsequently lodged.

8.1.4 Upon approval of a new derivatives issuer

In the case of the approval of a new derivatives issuer, invoicing of the charge is effected at the time of the approval.

8.1.5 In the case of adjustments to erroneous entries in CONNEXOR Listing

In the case of adjustments based on erroneous entries in CONNEXOR Listing (Clause 5.1.6), the charge is invoiced at the time of adjustment.

8.1.6 For maintaining listing

¹ Invoicing of the annual charge for maintaining listing is effected during the first quarter of the current year.

² In the case of a new listing of securities, the costs for maintaining listing during the calendar year that has already commenced are included in the overall listing charges.

³ No pro rata temporis reimbursement of charges for maintaining listing shall be granted.

8.2 Basis for calculating variable charges

The following rules shall apply to the calculation of variable charges:

8.2.1 Upon listing of equity securities

Decisive in calculating the aggregate capitalisation of the newly listed securities is the closing price on the first trading day.

8.2.2 For maintaining listing of equity securities

Decisive in calculating the aggregate capitalisation of the listed securities is the closing price on the last exchange day of the previous year.

8.2.3 Fees charged on a time basis

Where the fee is based on the time taken to complete a task, the rate is CHF 300 per hour.

8.3 Payment dates

¹ Unless agreed otherwise, invoices must be paid within 30 days of issue.

² Interest in arrears of 10% p.a. may be charged on payments received late.

Resolution of the Management Committee of SIX Swiss Exchange Ltd of 26 March 2018; in effect since 1 May 2018.

Annex A – Equity Securities

1 Listing

| | | | |
|---------------|-------------------|--|---------------------------------------|
| Clause 2.1.1 | Basic charge | for processing the listing application | CHF 3,000 |
| Clause 2.1.2 | Variable charge | for the listing of new equity securities new issuer: maximum of CHF 80,000 capital increase: maximum of CHF 50,000 | CHF 10 per million CHF capitalisation |
| Clause 2.1.3 | Additional charge | for new issuers | CHF 10,000 |
| Clause 2.1.4 | Additional charge | for examination of the listing prospectus | CHF 5,000 |
| Clause 2.1.5 | Additional charge | for additional securities | CHF 2,000 |
| Clause 2.1.7 | Flat charge | for the secondary listing of securities of foreign issuers | CHF 5,000 |
| Clause 2.1.8 | Flat charge | for establishing a separate trading line in the event of share buy-backs and public offers | CHF 3,000 |
| Clause 2.1.9 | Additional charge | for trading lines maintained for more than three months | CHF 1,000 for each additional quarter |
| Clause 2.1.10 | Flat charge | for shareholder options in connection with buy-backs or issue of securities or employee options | CHF 3,000 |

2 Maintaining listing

| | | | |
|--------------|-----------------|------------------------------|---------------------------------------|
| Clause 2.2.1 | Basic charge | annual basic charge | CHF 6,000 |
| Clause 2.2.2 | Variable charge | annual maximum of CHF 50,000 | CHF 10 per million CHF capitalisation |

Annex B – Collective investment schemes

1 Listing

| | | | |
|--------------|-------------------|---|---------------------------|
| Clause 3.1.1 | Basic charge | for processing the listing application | CHF 3,000 |
| Clause 3.1.2 | Additional charge | for units of a new collective investment scheme or a new legal entity | CHF 10,000 |
| Clause 3.1.3 | Additional charge | for each additional collective investment scheme | CHF 2,000 |
| Clause 3.1.4 | Additional charge | for additional trading currencies | CHF 1,000 per security |

2 Maintaining listing

| | | | |
|--------------|--------------|--|------------------|
| Clause 3.2.1 | Basic charge | annually as a function of the number of listed collective investment schemes from the same issuer: | Fee per security |
| | | – 1 to 10 | CHF 3,000 |
| | | – 11 to 20 | CHF 1,500 |
| | | – 21 to 30 | CHF 1,000 |
| | | – from 31 | CHF 500 |

Annex C – Bonds

1 Listing

| | | | |
|--------------|-------------------|--|---|
| Clause 4.1.1 | Basic charge | for processing the listing application | CHF 2,000 |
| Clause 4.1.2 | Variable charge | for the listing of new issues or additional issue of existing listed bonds | CHF 10 per million CHF nominal value |
| Clause 4.1.3 | Additional charge | for new issuers | CHF 10,000 |
| Clause 4.1.4 | Additional charge | for examination of the listing prospectus | CHF 5,000 |
| Clause 4.1.5 | Flat charge | for examination and registration of issue programmes | CHF 6,000 |
| Clause 4.1.6 | Flat charge | for examination of the reissuance and re-registration of issue programmes | CHF 3,000 |
| Clause 4.1.7 | Additional charge | for examination of the listing prospectus in connection with issue programmes | CHF 2,000 |
| Clause 4.1.8 | Flat charge | for processing a listing application for bonds with a maximum term of 12 months that are issued on the basis of an issue programme | CHF 5,000 |

Annex D – Derivatives

1 Listing

| | | | |
|--------------|-------------------|--|------------------------|
| Clause 5.1.1 | Flat charge | for the admission of derivatives to trading, a fee per derivative is charged according to the following table: | Fee per derivative |
| | | quantity: 0–200 derivatives | CHF 350 |
| | | quantity: 201–500 derivatives | CHF 250 |
| | | quantity: 501–1,000 derivatives | CHF 180 |
| | | quantity: 1,001–2,000 derivatives | CHF 140 |
| | | quantity: 2,001–5,000 derivatives | CHF 110 |
| | | quantity: 5,001–7,500 derivatives | CHF 85 |
| | | quantity: 7,501–10,000 derivatives | CHF 60 |
| | | quantity: from 10,001 derivatives | CHF 50 |
| Clause 5.1.2 | Additional charge | for "stand-alone prospectus" (Art. 22 para. 1 Additional Rules Derivatives) | CHF 1,000 |
| Clause 5.1.3 | Flat charge | for the examination and registration of derivatives programmes | CHF 6,000 |
| Clause 5.1.4 | Flat charge | for the examination of the reissuance of derivatives programmes | CHF 10,000 |
| Clause 5.1.5 | Additional charge | for new issuer | CHF 10,000 |
| Clause 5.1.6 | Flat charge | for an adjustment to erroneous entries in CONNEXOR Listing | CHF 100 per derivative |
| Clause 5.1.7 | Starter discount | 10 free derivatives valid for a maximum of 12 months | free of charge |

Annex E – Exchange Traded Products (ETP)

1 Listing

| | | | |
|--------------|-------------------|---|------------|
| Clause 6.1.1 | Basic charge | for processing the listing application | CHF 2,000 |
| Clause 6.1.2 | Additional charge | for new issuers | CHF 10,000 |
| Clause 6.1.3 | Additional charge | for additional trading currencies per ETP | CHF 1,000 |
| Clause 6.1.4 | Additional charge | for examining the "stand-alone prospectus" | CHF 3,000 |
| Clause 6.1.5 | Additional charge | for examining the listing prospectus with reference to an approved listing prospectus | CHF 2,000 |
| Clause 6.1.6 | Flat charge | for examination and registration of issue programmes | CHF 5,000 |
| Clause 6.1.7 | Flat charge | for examination of the reissuance and re-registration of issue programmes | CHF 3,000 |
| Clause 6.1.8 | Additional charge | for examination of the listing prospectus in connection with issue programmes | CHF 1,500 |

2 Maintaining listing of Exchange Traded Products (ETPs)

| | | | |
|--------------|--------------|---|-------------|
| Clause 6.2.1 | Basic charge | annually as a function of the number of listed ETPs from the same issuer: | Fee per ETP |
| | | – 1 to 10 | CHF 3,000 |
| | | – 11 to 20 | CHF 1,500 |
| | | – 21 to 30 | CHF 1,000 |
| | | – from 31 | CHF 500 |

Annex F – Other services and authorisations

| | | | |
|------------|-------------------|--|---|
| Clause 7.1 | Charge | for processing a delisting application for derivatives or Exchange Traded Products | CHF 300 per derivative or ETP, maximum of CHF 3,000 |
| Clause 7.2 | Charge | for the withdrawal of an application | as incurred, CHF 300 per hour |
| Clause 7.3 | Charge | for providing comprehensive written information | as incurred, CHF 300 per hour |
| Clause 7.4 | Additional charge | to cover extraordinary expenses | CHF 300 per derivative or ETP, maximum of CHF 3,000 |
| | | to cover third party/expert costs | as invoiced by the third party / expert |
| | | for accelerated transaction processing | flat charge, maximum of CHF 20,000 |
| Clause 7.5 | Charge | for expenses such as non-standard postage, notarisation fees, etc. | at effective cost |