



List of Charges under the Listing Rules

SIX Swiss Exchange AG

dated 7 October 2021

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1 Purpose, scope and list of fees

1.1 Purpose

¹ According to Art. 63 LR, fees, as set out in the applicable List of Charges (List of Charges to the Listing Rules and/or List of Charges for Regulatory Bodies), are charged for admission to trading, for listing and for maintaining listing or admission to trading, as well as in the context of sanction and appeal proceedings.

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 AG.

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)
- Admission to trading and maintaining admission to trading in a Sponsored Segment
- 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 AG, an additional non-recurring charge of CHF 10,000 is levied.

2.1.4 Additional charge for the listing prospectus (cancelled)**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 AG 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 AG 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.

2.1.11 Charges for equity securities in the regulatory standard Sparks

¹ In derogation of Clause 2.1.1, half of the basic charge is levied for the processing of a listing application in connection with a listing of equity securities in the regulatory standard Sparks if and to the extent that the listing application concerns one of the following transactions:

- a) initial public offering (IPO);
- b) capital increase (ordinary or authorised capital increase);
- c) first possible exercise of conditional capital;
- d) listing of an additional category of equity securities;

² In derogation of Clauses 2.1.2, 2.1.3, 2.1.5 and 2.1.6, half of the charges for the listing of equity securities in the regulatory standard Sparks are levied.

See also:

- Directive Procedures Equity Securities (DPES)

2.2 Maintaining listing of equity securities

2.2.1 Annual basic charge

For maintaining listing, an annual basic charge of CHF 8,000 is levied for each issuer.

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 80,000.

³ For shares in the regulatory standard for Special Purpose Acquisition Companies (SPACs) that offer convertible bonds instead of shares, a variable charge of CHF 10 per CHF one million of the total nominal amount or the total nominal amount converted into CHF of the convertible bond or the increased tranche is levied.

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 a 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 basic charge depending on 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 AG, 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 AG for longer than three years.

4.1.4 Additional charge for the listing prospectus (cancelled)**4.1.5 Flat charge for examination and registration of issue programmes (cancelled)****4.1.6 Flat charge for the reissue of issue programmes (cancelled)****4.1.7 Additional charge for issue programmes (cancelled)****4.1.8 Fee for bonds with a maximum term of 12 months**

¹ A fee of CHF 3,000 is charged for processing a listing application for bonds with a maximum duration of 12 months.

² Clauses 4.1.1 and 4.1.2 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 is determined, 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 (cancelled)**5.1.3 Flat charge for examination and registration of derivatives programmes (cancelled)****5.1.4 Flat charge for the reissue of derivatives programmes (cancelled)****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 AG, 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 AG 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 Knock-out discount

¹ For Warrants with Knock-Out and Mini-Futures, which reach the knock-out or stop-loss level within 11 trading days and are therefore delisted, the issuer may, for each warrant delisted following the knock-out or stop-loss level being reached, list a further Warrants with Knock-Out or Mini-Future, whereby the levying of the fees according to Clause 5.1.1 will be waived.

² For the purposes of calculating the 11 trading days in accordance with para. 1 of this provision, the difference between the first and last trading day is decisive and not the date of the knock-out or stop-loss event.

³ Under para. 1 of this provision, the possibility of listing further Warrants with Knock-Out and Mini-Futures expires no later than at the end of the month following the last trading day.

⁴ Listings in accordance with para. 1 of this provision are not taken into account for the calculation of the number of derivatives in accordance with Clause 5.1.1.

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 (cancelled)**6.1.5 Additional charge for the listing prospectus with reference to approved listing prospectus (cancelled)****6.1.6 Flat charge for examination and registration of issue programmes (cancelled)****6.1.7 Flat charge for the reissue of issue programmes (cancelled)****6.1.8 Additional charge for issue programmes (cancelled)****6.2 Maintaining listing of Exchange Traded Products (ETPs)****6.2.1 Annual basic charge**

For maintaining listing, an annual basic charge depending on 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 Fees for admission to trading and maintaining admission to trading in a Sponsored Segment

7.1 Admission to trading in a Sponsored Segment**7.1.1 Basic charge for the admission to trading in the SIX Swiss Exchange AG – Sponsored Foreign Shares segment**

An admission fee of CHF 25 per security is charged by each sponsoring securities firm for the examination of an application for admission to trading for each activation.

7.1.2 Basic charge for the admission to trading in the SIX Swiss Exchange AG – Sponsored Investment Funds segment

An admission fee of CHF 25 per security is charged by each sponsoring securities firm for the examination of an application for admission to trading for each activation.

7.2 Maintaining admission to trading in a Sponsored Segment**7.2.1 SIX Swiss Exchange AG – Sponsored Foreign Shares segment**

No maintaining fee is levied in the SIX Swiss Exchange AG – Sponsored Foreign Shares segment.

7.2.2 SIX Swiss Exchange AG – Sponsored Investment Funds segment

An annual basic charge is levied by each sponsoring securities firm in the SIX Swiss Exchange AG - Sponsored Investment Funds segment for maintaining admission to trading. This fee depends on the number of index funds of the same sponsoring securities firm admitted to trading and is calculated as follows:

- a) 1 to 10 index funds: CHF 3,000 for each security admitted to trading;

- b) 11 to 20 index funds: CHF 1,500 for each security admitted to trading;
- c) 21 to 30 index funds: CHF 1,000 for each security admitted to trading;
- d) from 31 index funds: CHF 500 for each security admitted to trading.

8 Other services and authorisations

8.1 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)

8.2 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.

8.3 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.

8.4 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.

8.5 Expenses

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

9 Common provisions

9.1 Invoicing

The following rules apply to invoicing:

9.1.1 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.

9.1.2 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.

9.1.3 Upon listing of derivatives

In the case of derivatives that have first been provisionally admitted to trading in accordance with Art. 32 et 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.

9.1.4 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.

9.1.5 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.

9.1.6 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.

9.2 Basis for calculating variable charges

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

9.2.1 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.

9.2.2 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.

9.2.3 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.

9.3 Payment deadline

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.

10 Transitional provisions

The transitional provisions according to Art. 116a and 116b LR shall apply mutatis mutandis.

Resolution of the Management Committee of SIX Swiss Exchange AG of 7 October 2021; in effect since 1 January 2022.

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 2.1.5	Additional charge	for additional securities	CHF 2,000
Clause 2.1.6	Charge(s)	for the listing of securities out of conditional capital	Charge described in Clause 2.1.2 not levied
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
Clause 2.1.11	Charge(s)	for equity securities in the regulatory standard Sparks	Half of the charges pursuant to Clauses 2.1.1, 2.1.2, 2.1.3, 2.1.5 and 2.1.6

2 Maintaining listing

Clause 2.2.1	Basic charge	annual basic charge	CHF 8,000
Clause 2.2.2	Variable charge	annual maximum of CHF 80,000	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 shares 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 depending on 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 4.1.8	Flat charge	for processing a listing application for bonds with a maximum term of 12 months	CHF 3,000

Annex D – Derivatives

1 Listing

Clause 5.1.1	Flat charge	for the approval to trading of derivatives, a charge is levied for each derivative 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
		Number: from 10001 derivatives	CHF 50
Clause 5.1.5	Additional charge	for new issuers	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	Knock-out rebate	Listing for knock-out warrants and mini-futures delisted during the period of 11 trading days.	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

2 Maintaining listing of Exchange Traded Products (ETPs)

Clause 6.2.1	Basic charge	annually depending on 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 – Sponsored Segment

Clause 7.1.1	Basic charge	for the examination of an application for admission to trading in the SIX Swiss Exchange AG - Sponsored Foreign Shares segment	CHF 25 per security for each activation and each sponsoring securities firm
Clause 7.1.2	Basic charge	for the examination of an application for admission to trading in the SIX Swiss Exchange AG - Sponsored Investment Funds segment	CHF 25 per security for each activation and each sponsoring securities firm
Clause 7.2.2	Basic charge	annually depending on the number of index funds of a sponsoring securities firm admitted to trading:	Price per index fund
		– 1 to 10	CHF 3,000
		– 11 to 20	CHF 1,500
		– 21 to 30	CHF 1,000
		– from 31	CHF 500

Annex G – Other services and authorisations

Clause 8.1	Charge	for processing a delisting application for derivatives or Exchange Traded Products	CHF 300 per derivative or ETP, maximum of CHF 3,000
Clause 8.2	Charge	for the withdrawal of an application	as incurred, CHF 300 per hour
Clause 8.3	Charge	for providing comprehensive written information	as incurred, CHF 300 per hour
Clause 8.4	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 8.5	Charge	for expenses such as non-standard postage, notarisation fees, etc.	at effective cost