



# List of Charges under the Reporting Rules

SIX Swiss Exchange AG

dated 3 June 2021

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## 1 Purpose, scope and list of fees

### 1.1 Purpose

<sup>1</sup> In accordance with Clause 4 Reporting Rules, the Reporting Office charges parties subject to the duty to report (see Clause 1 para. 1 Reporting Rules) fees for receiving and processing reports (“reporting fees”). The fees are set and charged according to the following provisions and parties subject to the duty to report and further persons are required to pay the set fees.

<sup>2</sup> Fees may be wholly or partly waived providing all parties subject to the duty to report are treated equally.

### 1.2 Scope

This List of Charges under the Reporting Rules applies to all parties subject to the duty to report, 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 Reporting Rules governs the following fees:

- Fees for parties subject to the duty to report
  - Admission fee for parties subject to the duty to report
  - Annual fee for parties subject to the duty to report
- Reporting fees for Trade Reports
  - Transaction fee
  - Ad valorem fee
  - Fee for Trade Type “Both Parties”
- Reporting fees for Transaction Reports
  - Transaction Reports
  - Delivery Reports
- Extraordinary reporting fees
  - Fee for corrections, deletions and cancellations of reports
  - Minimum fee

## 2 Definitions

The following definitions are used in this List of Charges under the Reporting Rules:

Ad valorem fee	The ad valorem fee depends on the transaction volume and is payable per report and per party subject to the duty to report.
bp	Basis points (1/100th of a percentage point)
Cap	Maximum amount for the ad valorem fee per Trade Report
CHF	Swiss francs
Floor	Minimum amount for the ad valorem fee per Trade Report
Party subject to the duty to report	Participant in a trading venue as well as other Swiss and foreign securities

	firms.
Report	Trade Report or Transaction Report as per Clause 2 Reporting Rules
Rights	Rights within the framework of capital increases, rights in connection with the distribution of a stock dividend, put options for the purpose of share repurchases, as well as shareholder and employee options.
Trade Report	Trade Reports are reports as per Clause 2.1 Reporting Rules
Transaction Report	Transaction Reports are reports as per Clause 2.2 Reporting Rules
Transaction fee	The transaction fee is a fixed fee and is payable per report and per party subject to the duty to report.

### 3 Fees for parties subject to the duty to report

#### 3.1 Admission fee for parties subject to the duty to report

The Reporting Office does not collect an admission fee from parties subject to the duty to report.

#### 3.2 Annual fee for parties subject to the duty to report

<sup>1</sup> The Reporting Office charges an annual fee of CHF 4,000 per party subject to the duty to report. Should registration of the party subject to the duty to report begin or end during a year, this fee is levied pro-rata.

<sup>2</sup> The annual fee for parties subject to the duty to report is waived if the party subject to the duty to report is a SIX Swiss Exchange AG participant and has paid the annual fee for participants in accordance with Clause 3.3 para. 1 List of Charges under the Trading Rules of SIX Swiss Exchange AG.

### 4 Reporting fees for Trade Reports

#### 4.1 Principle

<sup>1</sup> A reporting fee is charged for receiving and processing Trade Reports. This is payable per Trade Report and per party subject to the duty to report.

<sup>2</sup> The reporting fee comprises a transaction fee and an ad valorem fee.

<sup>3</sup> The reporting fee amount depends on the security underlying the trade. The applicable rates are set out in the relevant Annex to this List of Charges under the Reporting Rules.

#### 4.2 Transaction fee

<sup>1</sup> The transaction fee is a fixed charge.

<sup>2</sup> The Exchange may institute rate bands for the transaction fee in individual trading segments.

#### 4.3 Ad valorem fee

<sup>1</sup> The ad valorem fee depends on the trade's transaction volume. It is determined in terms of basis points and has both a set minimum (floor) and a set maximum (cap).

<sup>2</sup> The Exchange may institute rate bands for the ad valorem fee in individual trading segments.

#### **4.4 Fee for Trade Type "Both Parties"**

For one-sided Trade Reports flagged with the Trade Type "Both Parties", the party subject to the duty to report who submits the report to the Reporting Office is charged the set reporting fees for both parties involved in the trade, i.e. the reporting fee for the party subject to the duty to report and the reporting fee for the counterparty.

## **5 Reporting fees for Transaction Reports**

### **5.1 Transaction Reports**

<sup>1</sup> A reporting fee is charged for receiving and processing Transaction Reports. This is payable per Transaction Report and per party subject to the duty to report.

<sup>2</sup> The reporting fee comprises a flat-rate fee and is divided into rate bands. The rate bands are based on the number of Transaction Reports submitted annually by parties subject to the duty to report.

<sup>3</sup> The applicable rates per rate band are set out in the relevant Annex to this List of Charges under the Reporting Rules.

### **5.2 Delivery Reports**

<sup>1</sup> A reporting fee is charged for receiving and processing Delivery Reports. This is payable per Delivery Report and per party subject to the duty to report.

<sup>2</sup> The reporting fee comprises the reporting fee for Transaction Reports as per Clause 5.1 of this List of Charges under the Reporting Rules as well as a usage fee.

<sup>3</sup> The applicable rates per rate band are set out in the relevant Annex to this List of Charges under the Reporting Rules.

## **6 Extraordinary reporting fees**

### **6.1 Fee for corrections, deletions and cancellations of reports**

<sup>1</sup> For the entry and cancellation of Trade Reports on behalf of a party subject to the duty to report, a fee of CHF 150 is charged per report.

<sup>2</sup> For the cancellation of Trade Reports by a party subject to the duty to report, a fee of CHF 50 is charged per report.

<sup>3</sup> No reporting fees or extraordinary fees are charged for Transaction Reports corrected or deleted by the party subject to the duty to report.

### **6.2 Minimum fee**

For reporting fees for Trade Reports, the Reporting Office charges a minimum fee of CHF 50 per month and per party subject to the duty to report if at least one report has been submitted in the month concerned.

## **7 Common Provisions**

### **7.1 General points**

All fees in this List of Charges under the Reporting Rules as well as those in the Annexes are exclusive of value added taxes.

### **7.2 Payment dates**

<sup>1</sup> Unless agreed otherwise, invoices from SIX Swiss Exchange AG must be paid within 30 days of issue.

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

### **7.3 Reimbursement of fees**

<sup>1</sup> Any claim for the reimbursement of fees must be lodged within six months of the invoice date. Entitlement to reimbursement will lapse at the end of this period.

<sup>2</sup> The claim for reimbursement must be supported by confirmation from the auditors of the party subject to the duty to report.

Resolution of the Management Committee of SIX Swiss Exchange AG dated 3 June 2021 approved by FIN-MA on 26 October 2021; in effect since 6 December 2021.

## Annex A - Trade Reports

### 1.1 Equities

Transaction fee	CHF 1.00		
Ad valorem fee	Floor	Scale	Cap
	CHF 0.50	0.25 bp	CHF 25

### 1.2 ETF, ETSF, ETP, Investment Funds and Sponsored Funds

Transaction fee	CHF 1.50		
Ad valorem fee	Floor	Scale	Cap
	CHF 0.50	0.25 bp	CHF 25

### 1.3 Bonds – CHF

Transaction fee	CHF 1.50		
Ad valorem fee	Floor	Scale	Cap
	CHF 2.00	0.50 bp	CHF 150

### 1.4 Bonds – Non CHF

Transaction fee	CHF 1.50		
Ad valorem fee	Floor	Scale	Cap
	CHF 0.00	0.00 bp	CHF 0.00

### 1.5 Derivatives and Structured Products (excl. Rights)

Transaction fee	CHF 1.50		
Ad valorem fee	Floor	Scale	Cap
	CHF 1.50	1.50 bp	CHF 25

### 1.6 Rights

Transaction fee	CHF 0.10		
Ad valorem fee	Floor	Scale	Cap
	-	0.25 bp	-

## Annex B - Transaction Reports

### 1 Reporting fees for Transaction Reports

Rate band	Number of Transaction Reports per year		Flat-rate annual fee in CHF
	from	to	
1	1	54,540	0
2	54,541	78,050	500
3	78,051	113,420	750
4	113,421	183,300	1,000
5	183,301	362,000	1,250
6	362,001	634,400	2,500
7	634,401	1,132,200	5,000
8	1,132,201	1,990,000	7,500
9	1,990,001	3,047,000	12,500
10	3,047,001	4,885,000	20,000
11	4,885,001	8,440,000	30,000
12	8,440,001	13,800,000	40,000
13	13,800,001	and over	50,000

### 2 Delivery Report usage fee

Usage fee	CHF 10.00
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