

# SDX Trading AG

## List of Charges under the Reporting Office Rules

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# 1 Purpose, scope, and list of fees

## 1.1 Purpose

According to Clause 3 of the Reporting Office Rules, the Reporting Office charges parties subject to the duty to report fees for receiving and processing reports.

The pricing framework is based on the following rules of:

- Transparency
- Equal treatment of all parties subject to the duty to report
- Non-discrimination of all parties subject to the duty to report

Fees may be wholly or partly waived provided all parties subject to the duty to report are treated equally.

## 1.2 Scope

The List of Charges under the Reporting Office Rules applies to all parties subject to the duty to report and persons who have submitted themselves to the rules of SDX Trading AG (i.e. the Exchange).

## 1.3 List of fees

The List of Charges under the Reporting Rules refers to the following services:

- Registration to Reporting Office
- Receiving and processing of trade reports
- Receiving and processing of transaction reports
- Other services related to reporting

## 1.4 Price details

The fees are usually set in Swiss franc (i.e. CHF), basis points (i.e. bps) on the transaction's financial volume. All fees are quoted exclusive of value-added tax (VAT), unless stated otherwise. One basis point (1 bp) equals 0.01% or 0.0001.

## 2 Registration to Reporting Office

An annual fee of CHF 4,000 is levied to the party subject to the duty to report. Should registration begin or end during the year, the fee is levied pro-rata.

This fee is waived in the following cases:

- Participants of the Exchange who pay their annual participation fee according to the Clause 4 of “List of Charges under the Listing and Trading Rules” of SDX Trading AG.
- Participants of the SIX Swiss Exchange Ltd who pay their annual participation fee according to the Clause 3.3 of “List of Charges under the Trading Rules” of SIX Swiss Exchange Ltd.
- Parties subject to the duty to report who pay their annual fee according to the Clause 3.2 of “List of Charges under the Reporting Rules” of SIX Swiss Exchange Ltd

## 3 Trade reports

A reporting fee is charged for receiving and processing each trade report. The fee is payable per trade report and per party subject to the duty to report. The fee consists of a fixed transaction fee and a variable fee. The variable fee is based on the trade’s transaction volume and has a set minimum (i.e. floor) and maximum (i.e. cap), respectively. The reporting fees are different per asset class.

Asset class	Fixed (CHF)	Variable Fee		
		Floor (CHF)	Scale (bps)	Cap (CHF)
Equities	1.0	0.5	0.25	25.0
Bonds	1.5	2.0	0.50	150.0

## 4 Transaction reports

According to the SDX Trading AG Reporting Office Rules, transaction reports will be handled by the Reporting Office of SDX Trading AG.

For the fees applicable to receiving and processing each transaction report reference is made to the “List of Charges under the Reporting Rules” of SIX Swiss Exchange Ltd in Clause 5 “Reporting fees for Transaction Reports” and specifically Clause 5.1 “Transaction Reports” and 5.2 “Delivery Reports”, respectively. When calculating these fees, the number of transaction reports handed into the Reporting Office of SDX Trading AG will be combined with the total number of transactions reports handled by the Reporting Office of SIX Swiss Exchange Ltd.

## 5 Other services related to reporting

### 5.1 Fee for corrections, deletions, and cancelations of reports

For the entry and cancelation of trade reports on behalf of a party subject to the duty to report, a fee of CHF 50.0 is charged per report.

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

### 5.2 Minimum fee

For reporting fees for Trade Reports, the Reporting Office charges a minimum fee of CHF 50.0 per month and per party subject to the duty to report if at least one report has been submitted in the month concerned.

## 6 Common Provisions

Unless agreed otherwise, invoices must be paid within 30 days from the day of issue.

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

Any claim for the reimbursement of the fees must be requested within six months of the invoice date. The claim for reimbursement must be supported by confirmation from the auditors of the party subject to the duty to report.

Other services requested or triggered by the participants which are not specified in this price list will be charged based on the actual costs incurred for the relevant tasks, as appropriate.

## Appendix I – Glossary

This section contains the definitions of the following terms which are used in this List of Charges under the Reporting Office Rules:

Term	Definition
<b>Variable fee</b>	The variable fee depends on the transaction volume and is payable per report and per party subject to the duty to report
<b>CHF</b>	Swiss franc
<b>Cap</b>	Maximum amount for the variable fee per trade report
<b>Exchange</b>	SDX Trading AG
<b>Floor</b>	Minimum amount for the variable fee per trade report
<b>Participant</b>	Securities dealers that have acquired the authorization of the Swiss Financial Market Supervisory Authority FINMA and have direct access to the Exchange.
<b>Party subject to report</b>	Participant in a trading venue as well as other Swiss and foreign securities dealers trading securities admitted to a trading venue off-exchange
<b>Report</b>	Trade or transaction report according to the Reporting Office Rules
<b>Trade</b>	(Partial) execution of an order
<b>Trade report</b>	Trade reports according to the Reporting Office Rules
<b>Transaction fee</b>	The transaction fee is a fixed fee and is payable per report and per party subject to the duty to report.
<b>Transaction report</b>	Transaction Reports according to the Reporting Office Rules
<b>VAT</b>	Value-added tax