

List of fees of the Registration Office

As of 15 May 2023

1. Purpose and subject			
1.1	The List of Fees of the Registration Office of BX Swiss AG governs the fees for decisions and services of the Registration Office. The fees are based on the Financial Services Ordinance (FinSO).		
2. Fees of the Registration Office			
2.1	Initial entry in the Client Advisor Register (electronic application, including registration on the online platform)	CHF	840
2.2	Financial service providers (in their function as employers) or authorised third parties who register at least five client advisors via the online platform and pay the fees due in advance will receive a reduction on the basic fee in accordance with section 2.1. Accordingly, a basic fee in the following amount will be charged per application:		
2.2.1	from 5 to 20 applications	CHF	790
2.2.2	from 21 to 50 applications	CHF	740
2.2.3	from 51 to 100 applications	CHF	690
2.2.4	more than 100 application	CHF	640
2.3	Initial entry in the Client Advisor Register (physical application)	CHF	2'500
2.4	Amendment of existing entry (electronic application) regarding essential information in the public register within the meaning of Art. 41 para. 1 FinSO	CHF	no fee
2.5	Fee for amendments (physical application)	CHF	150
2.6	Additional fee for exceptional effort or special difficulties (pursuant to Art. 42 para. 3 FinSO)	CHF	at cost
2.7	Other decisions or services	CHF	at cost
2.8	Hourly rate depending on the functional level of the executing staff	CHF	100 - 500
2.9	Urgent decisions and services		
2.9.1	Urgent applications for registration in the client advisor register (processing of the application within 10 working days)	CHF	+ 250
2.9.2	Urgent applications for renewal of registration (submission of application 10 days or less before expiry of registration)	CHF	+ 150

2.9.2	Other urgent orders and services (pursuant to Art. 42 para. 6 FinSO)		+ 50%
2.10	Additional fee for physical decisions by mail	CHF	150
2.11	Additional fee for the deposit of decisions (Deposit with BX Swiss)	CHF	250
2.12	Renewal of the entry according to art. 41 (2) FinSO and art. 42 (2) FinSO (electronic application)	CHF	500
2.13	Renewal of the entry according to art. 41 (2) FinSO and art. 42 (2) FinSO (physical application)	CHF	1'000
2.14	Withheld expense fee in case of withdrawal of the application (for applications already processed by the registration office) ¹	CHF	500
2.15	Withheld expense fee in case of withdrawal of the application (for applications not yet processed by the registration office) ²	CHF	150
2.16	Applications that are pending for more than 6 months (from the date of the first request for rectification) despite a request for rectification by the re-registration office will be dismissed by the registration office by means of an order as being without object (dismissal order). The fees are owed in full and will not be refunded.		

3. Additional Provisions

- 3.1 Registrations of client advisors, who work for group companies of the same group, are considered together for the fee scale according to section 2.2. This does not apply to subsidiaries that are directly or indirectly less than 50% owned by the parent company of the group.
- 3.2 Financial service providers who are members of an industry association, which ensures minimum standards with regard to education and further training of its members or offers events relating to the FinSA Client Advisor Register, can also benefit from the reduced fee according to section 2.2.1 for their registrations, even if less than five client advisors are registered. For credit card payments, BX Swiss will issue a corresponding payment code upon request.
- 3.3 The fees are also due in the event of refusals and will not be refunded.

4. Final Provisions

This List of fees was approved by the Board of Directors of BX Swiss AG. It will enter into force on 15 May 2023.

¹ This fee will be credited against the registration fee already paid; the difference will be refunded if the application has not yet been closed by means of a decision.

² This fee will be credited against the registration fee already paid; the difference will be refunded.

ANNEX

Sample calculations for the degressive fee scale according to point 2.2.

Number of advisors

Fee in CHF	Fees per range	Advisors per range	
1-4 at CHF 840	CHF 3'360	4	
5-20 at CHF 790	CHF 4'740	6	
21 - 50 at CHF 740	CHF -	0	
51 - 100 at CHF 690	CHF -	0	
ab 101 at CHF 640	CHF -	0	
Sum	CHF 8'100	10	

Resulting Ø fee per advisor CHF 810

Number of advisors

Fee in CHF	Fees per range	Advisors per range	
1-4 at CHF 840	CHF 3'360	4	
5-20 at CHF 790	CHF 12'640	16	
21 - 50 at CHF 740	CHF 22'200	30	
51 - 100 at CHF 690	CHF 34'500	50	
ab 101 at CHF 640	CHF 32'000	50	
Sum	CHF 104'700	150	

Resulting Ø fee per advisor CHF 698