



SIX Swiss Exchange message no. 55/2017

Subject **Remarks on the SIX Swiss Exchange Reporting Office Rules**

Category Regulation

Authorized by Adrian Isler, Head Market Operations
Ian Cornwall, Head Market Structure

Pages 2

Date 21.12.2017

Information 

Content of this message:

- Adjustment of the already communicated transitional regulation concerning the submission of Transaction Reports for Swiss Domestic Securities Dealers

In order to allow those subject to the duty to report sufficient time to implement the new aspects of the reporting duty, the deadline for submitting Transaction Reports has been postponed. This concerns only Transaction Reports which were to have been submitted for the first time as of 1 January 2018, in accordance with the [SIX Swiss Exchange Reporting Office Rules \(Reporting Rules\)](#). Existing obligations to submit Transaction Reports are not affected. Those subject to the duty to report **still have the option of fulfilling their reporting obligations in full as of 1 January 2018**.

Latest from 1 October 2018 onwards, **Swiss Domestic Securities Dealers** have to comply with all aspects of their reporting obligations, as set out in the Reporting Rules and the SIX Swiss Exchange Rule Book regarding Article 129 paragraph 1bis FMIO. This includes details of the beneficial owner and Transaction Reports concerning trades and transmissions of orders in security-based derivatives.

Incomplete or not submitted Transaction Reports of Swiss Domestic Securities Dealers during the period from 1 January 2018 to 30 September 2018 are required to be retroactively submitted as full reports no later than 31 December 2018 ("Backloading").

Nature of the Trade	Transaction Reporting duty	Backload required/not required
On-Book Trade (Proprietary)	No Transaction Report required until 30 th September 2018 (optional)	No backload required
On-Book Trade (Client)	No Transaction Report required until 30 th September 2018 (optional)	Backload required
Off-Book Trade (Proprietary)	No Transaction Report required until 30 th September 2018 (optional)	No backload required
Off-Book Trade (Client)	No Transaction Report required until 30 th September 2018 (optional)	Backload required
Transmission of Order (Proprietary)	Transaction Report required (no changes)	
Transmission of Order (Client)	Transaction Report required (no changes)	

If you have any questions, please do not hesitate to contact Member Services:

Phone: +41 58 399 2473

E-mail: member.services@six-group.com

Links to SIX Swiss Exchange:

www.six-swiss-exchange.com | [Member Section](#) | [Forms](#) | [Rules](#) | [Directives](#)