



Participant requirements for trader and reporting agent examinations

Valid as of October 2017

Based on the new Rule Book that came into effect on 1 April 2010, the SIX Swiss Exchange trader and reporting agents examinations can be taken online as of July 2010 within the premises of our participants. We herewith inform you about the participants' obligations regarding the responsibility and procedure of such examinations.

1. Responsibility for conducting the examinations at the participant's facilities

- The registered Compliance Officer (Head Exam) is responsible for the compliant handling of the exams. In order to be able to perform exams in the absence of the Compliance Officer, a deputy must be registered with SIX Swiss Exchange.
- Please register the Compliance Officer and his/her deputy as exam administrators online in the member section. Changes of responsibilities must be communicated to SIX Swiss Exchange, Member Services (member.services@six-group.com / +41 58 399 2473).

2. Proper supervision of the examinations

Participants may conduct the examinations individually or in groups under supervision of the Head Exam. The timing of the exams are at the discretion of the participant.

The exam administrator has to verify and ensure the following:

- the identity of the candidate;
- the candidate has been provided with the login data;
- the login data is used only by the candidate who has registered for the exam;
- that upon registering for the "Trader Examination for Licensed Traders", the trader does in fact have a license recognized by SIX Swiss Exchange¹;
- that no additional aids² are used other than those made available electronically in the examination application.

3. Registration procedure candidates*

In applying for an examination, the candidate has to take the following into account:

- the candidate has to register for an examination via the SIX Swiss Exchange website. Payment is to be made by credit card;
- the candidate will receive an e-mail confirmation of his/her registration;
- the candidate will subsequently receive the login data for the test from the participant's exam administrator.

*Please note that traders and reporting agents of new participants will get a provisional registration status for 3 months after the first trading day of the new participant in order to do the trader exam and obtain the trading license. Traders and reporting agents have to be signed up for that exam before the first trading day of the new member. If the candidates fail the exam, the exchange will delete the provisional registration latest at the end of the three months and inform the participant accordingly.

¹ The licenses recognized by SIX Swiss Exchange can be found on our website by clicking this [link](#).

² The list of the permissible aids can be found on our website by clicking this [link](#).



4. Registration procedure for the exam administrator*

In terms of the registration procedure, the exam administrator has to verify the following:

- subsequent to registration, the receipt of login data from SIX Swiss Exchange Member Education (please note: all registered exam administrators will receive the given login data);
- the login data is being forwarded to the candidates;
- the test is being conducted in keeping with Point 2 above.

*Please note that traders and reporting agents of new participants will get a provisional registration status for 3 months after the first trading day of the new participant in order to do the exam and obtain the license. Traders and reporting agents have to be signed up for that exam before the first trading day of the new member.

5. Conducting the exam/certification

The following procedure should be followed by the traders:

- Access the exam via the SIX Swiss Exchange website. The link to the website along with the login details are shown in the confirmation delivered to the candidate by the exam administrator.
- On completion of the examination the candidate's result will be displayed on the screen and it is recommended that traders print these results.
- If the examination is passed, the license will be sent via e-mail to the trader within 10 days.
- If a trader has to resit the examination they must reapply and restart the process as outlined from the beginning.

6. Technical requirements

- Operating System / System Software: Windows 7, Windows 8, Windows 8.1, Windows 10, Mac OSX
- Browser: Internet Explorer ab Version 10, Microsoft Edge, Mozilla Firefox, Google Chrome, Safari
- Mobile: iOS 8 mit Safari oder Android
- BrowserSettings: JavaScript activated, **Popup-Blocker deactivated**

An error-free use of the application cannot be guaranteed if the technical requirements are not fulfilled. In case of doubt, please contact your system administrator (IT department).

7. Contact person

For further information please feel free to contact:

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