



Finanzdienstleistungsgesetz, Beraterregister  
Loi sur les services financiers, Registre des conseillers  
Legge sui servizi finanziari, Registro dei consulenti

## **Fee Regulations**

**of the Registration Authority for the Register of Client Advisors RegFix**



## **A. LEGAL BASIS AND PURPOSE**

<sup>1</sup> The Registration Authority charges fees in accordance with the provisions of Art. 42 of the Financial Services Ordinance (FinSO; SR 950.11) in conjunction with the General Fees Ordinance (AllgGebV; SR 172.041.1).

<sup>2</sup> Anyone who initiates an order by the Registration Authority or makes use of a service of the Registration Authority is liable to pay fees. For annually recurring expenses, the Registration Authority may charge an annual fee to cover the costs (Art. 42 para. 1 FinSO).

<sup>3</sup> Client advisors must renew their entry in the Register of Advisors after 24 months. Otherwise, the entry in the Register shall be deleted (Art. 41 Para. 2 FinSO).

<sup>4</sup> Client advisors are obliged to notify the Registration Authority of changes in accordance with Art. 41 Para. 1 FinSO within 14 days.

## **B. RATES**

### **1. Initial registration fee and biennial renewal fee**

CHF 500

### **2. Annual registration fee**

CHF 250

### **3. Temporary urgent orders or services**

Orders and services which the Registration Authority has to issue or perform urgently or outside normal working hours at the request of the applicant will be charged at a surcharge of 50% of the regular fee (Art. 42 para. 6 FinSO).

### **4. Hourly rates for other decrees and additional services**

Executive director                      CHF 300

Consultant                                CHF 250

Administration                          CHF 150

## **C. CONCRETISING PROVISIONS**

### **1. Initial registration fee and biennial renewal fee**

<sup>1</sup> The fee for the initial registration in the Register of Advisors includes the examination of the initial application for registration and the publication of the client advisor in the Register of Advisors. The initial registration fee is due upon the issuance of an order by the Registration Authority.

<sup>2</sup> The biennial renewal fee covers the examination of the renewal application, which must be submitted every 24 months in accordance with Art. 41 Para. 2 FinSO, as well as the renewed publication of the client advisor in the Register of Advisors. The renewal fee is due upon issuance of an order by the Registration Authority.

<sup>3</sup> Publication in the Register of Advisors shall take place after full payment of the invoiced amount.

<sup>4</sup> The registration and renewal fee is also due in the event of a negative decision and is not refundable.

### **2. Annual registration fee**

<sup>1</sup> The annual register fee is a cost-covering fee within the meaning of Art. 42 Para. 1 FinSO. It covers all mutations reported during a calendar year within the meaning of Art. 41 Para. 1 FinSO and is due annually at the beginning of the calendar year from the second registration year onwards.

<sup>2</sup> Mutations reported during a calendar year shall only be published in the Register of Advisors after the annual register fee has been paid in full.

### **3. Temporary urgent orders or services**

A surcharge of up to 50% of the regular fee may be levied for orders and services issued or performed by the registration authority at the request of the client on an urgent basis or outside normal working hours (Art. 42 para. 6 FinSo).

### **4. Other orders and additional services according to time spent**

Other orders and additional services (such as cancellation and re-registration procedures) are charged at the hourly rates shown in B4 (Art. 42 paras. 4 and 5 FinSO), depending on the function level of the executing person.

## **D. FINAL PROVISIONS**

These Fee Regulations were approved by the Executive Board of SRO PolyReg on 27 December 2021. They come into force on 1 January 2022 and replace the previous version of PolyReg Services GmbH.