
Fee Regulations for the Frankfurt Stock Exchange

Part I**Levying of fees; general provisions**

[...]

§ 4 Parties obligated to pay fees

- (1) Fees and expenses pursuant to § 1 paragraph (1) no. 1 shall be paid by the companies admitted to trading and in cases of § 9 Paragraph 5 by the applicant. In cases governed by § 1 paragraph (1) no. 2, the Exchange visitor shall be personally liable.
- (2) In the case of the fees pursuant to § 1 paragraph (1) nos. 3 to 6 and expenses within the meaning of § 1 paragraph (2), the applicant respectively the issuer (§ 1 paragraph 1 number 5) is liable for payment. In case of an application filed by more than one applicant, applicants are jointly and severally liable for payment of fees and expenses.

[...]

Part II**Fees for admission to and participation in Exchange trading**

[...]

§ 9 Participation fee

- (1) Companies admitted to exchange trading which take part only in floor trading shall pay an annual participation fee as in Table II. For each Exchange trader over the second one admitted, an annual fee (trader fee) shall be paid as in Table II.
 - (2) Companies admitted to exchange trading which take part in floor trading only via an electronic system shall pay an annual participation fee as in Table II.
 - (3) Companies admitted to exchange trading which take part only in exchange trading (floor trading) in an electronic trading system shall pay an annual participation fee as in Table II. Companies admitted to exchange trading pursuant to paragraph 1 or 2 that additionally take part in an electronic trading system shall not pay any further participation fee according to Table II.
 - (4) The fees as defined in paragraph (1) and paragraphs (2) and (3) shall be paid in quarterly instalments, at the middle of each quarter. The requirement to pay a current fee shall begin in the calendar quarter in which the conditions for paying the pertinent fee have first been met and shall lapse at the expiration of the calendar quarter in which the conditions for paying said fee are no longer met.
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(5) Irrespective of the fees pursuant to Paragraph (1) to (3), a fee in the amount of EUR 500 shall be levied for each application on cancellation of a transaction (mistrade application). If several mistrade applications are submitted for cancellation of transactions which have been accomplished due to partial executions of the same order or the same binding quotes, the fee of EUR 500 shall only be levied once. If, in case of transactions in structured products, several mistrade applications are submitted at the same time in writing, via telecopy or electronically or if, upon prior application via telephone, the required information for several mistrade applications are given afterwards in writing, via telecopy or electronically,

1. the fee of EUR 500 shall only be levied once, if the mistrade applications relate to transactions in the same structured product;
2. a fee of EUR 1,000 in total shall be levied if the mistrade applications relate to transactions in structured products which belong to the same product type and have the same underlying.

[...]
