

**OMBUDSMAN FINANCIAL SERVICES PROVIDERS**  
**SCHEDULE OF CONTRIBUTIONS AND COSTS**

The board has issued the following Schedule of Contributions and Costs on the basis of Art. 75(1) and Art. 84(2) e FinSA and Section 19(2) and (3) of the Association's Articles of Association:

**Introduction**

**§1 Subject**

<sup>1</sup> This Schedule of Contributions and Costs regulates the amount of all sums that the OFD Association can collect.

<sup>2</sup> The contributions and costs collected should cover the incurred costs and must be fair.

**Membership fees**

**§2 Admission fee**

(Section 28(1) of the Articles of Association)

<sup>1</sup> The one-off admission fee for an industry association as a member is CHF 500.

<sup>2</sup> Admission is only granted after full payment.

**§3 Membership contribution**

(Section 28 of the Articles of Association)

<sup>1</sup> The annual membership contribution for organisations with 1 - 50 people is CHF 500, for those with 51 - 100 people CHF 1,000 and for those with 101 or more people CHF 1,500.

<sup>2</sup> It is paid together with the admission fee.

<sup>3</sup> Admission is only granted after full payment.

<sup>4</sup> It is due for payment by 31 January of the current year.

**Affiliated membership fee**

**§4 Affiliation fee**

(Section 29 of the Articles of Association)

<sup>1</sup> The one-off affiliation fee for the financial service provider is CHF 100.00.

<sup>2</sup> If the financial services provider becomes an affiliated member via an industry organisation, this organisation will pass on the affiliation fee.

<sup>3</sup> The services provider will not become an affiliated member until the affiliation fee has been paid in full.

## §5 Annual fee

(Section 29 of the Articles of Association)

<sup>1</sup> The annual fee is CHF 500 for financial services providers with 1 - 4 people, CHF 1,000 for those with 5 - 10 people, CHF 1,500 for those with 11 - 50 people and CHF 2,500 for those with 51 or more people.

<sup>2</sup> If the financial services provider is a member of an industry organisation that has joined the ombudsman's office, the annual fee according to para. 1 is reduced by 20%.

<sup>3</sup> The industry organisation passes on the annual fee to all of its members interested in becoming an affiliate.

<sup>4</sup> The fee is not billed pro rata if the affiliation contract is terminated prematurely, or if the member is excluded.

<sup>5</sup> The fee must be paid together with the affiliation fee.

<sup>6</sup> Affiliation membership is only granted after full payment of the annual fee.

<sup>7</sup> It is due for payment by 31 January of the current year.

<sup>8</sup> If it is not paid by the deadline, the office will give the defaulting financial services provider a grace period of 30 days.

<sup>9</sup> In the event of non-payment, the ombudsman will impose sanctions in accordance with Section 5 of the Rules of Procedure.

## Litigation fees

(Art. 75 para. 1 FinSA, Section 30 of the Articles of Association, Section 19 of the Rules of Procedure)

## §6 Fees for conciliation requests

<sup>1</sup> The registration fee for submitting a conciliation request is between CHF 100 and a maximum of CHF 250 in exceptional cases. It depends on the amount in dispute, the complexity of the dispute and the scope of the submitted documents.

<sup>2</sup> The ombudsman makes the final decision about the registration fee amount.

<sup>3</sup> It can be waived or reduced by the ombudsman upon written request if reasons are provided, especially in the case of a lack of money or in hardship cases.

<sup>4</sup> The conciliation request will only be processed after payment of the registration fee.

#### **§7 Fees for conciliation negotiations**

The fees for carrying out conciliation negotiations in the case of Section 12 of the Rules of Procedure range from CHF 600 to CHF 3,500 and must be paid by the financial service provider concerned.

<sup>1</sup> They can be waived or reduced by the ombudsman upon written request if reasons are provided, especially in the case of a lack of money or in hardship cases.

### **Final provisions**

#### **§8 Changes to the Schedule of Contributions and Costs**

<sup>1</sup> The Board can change the Schedule of Contributions and Costs at any time after consulting the ombudsman.

<sup>2</sup> Changes must be submitted to the Federal Department of Finance (FDF) for approval. The board will not put the changed Schedule of Contributions and Costs into force until the approval of the FDF has been obtained.

#### **§9 Coming into effect**

The Schedule of Contributions and Costs will come into effect on July, 1<sup>st</sup> 2020

Zurich, July, 1<sup>st</sup> 2020