

## Fines

Pursuant to **Austrian Stock Exchange Act 2018** ('BörseG 2018'):

### **§ 100.**

*(1) The FMA shall impose the following fines for Exchange Members:*

- 1 percent of the amount that falls short of the collateral to be deposited pursuant to § 33 no. 4 as required by the clearing and settlement system, per day, a minimum, however, of EUR 70;*
- 0.3 percent of the price of those securities not delivered on time to the settlement system in violation of the rules for the settlement of stock exchange deals (§ 9 paragraph 3), per day, a minimum, however, of EUR 250; as of the sixth day of non-delivery this percentage rate shall increase to 0.6 percent per day.*

*(2) The exchange operating company shall be obliged to inform the FMA fully and immediately of any facts it has gained knowledge of pursuant to paragraph 1 without being requested to do so.*

*(3) The fines prescribed pursuant to paragraph 1 shall be transferred to the Republic of Austria.*