

# Listing of Exchange-Traded Products (ETFs, ETNs, ETCs) and Investmentfunds

at the Stuttgart Stock Exchange

# Agenda

1. Two Market segments for different demands
2. Listing criteria in general
3. Listing Criteria specifically for Exchange-Traded Products and Investmentfunds
4. Listing process for Exchange-Traded Products and Investmentfunds
5. Listing Contact

# Two market segments for different demands

# Two Market segments

## for different demands

### Stuttgart Stock Exchange

- About 3,000 Exchange-Traded Funds, Exchange-Traded Notes, Exchange-Traded Commodities and Investmentfunds can already be traded
- Listing requirements must be fulfilled within the market segments
- Two different market segments are possible for the listing of ETPs and Investmentfunds
- All prices are market prices
- For both market segments the same trading system is used
- All trading participants can trade and list on both market segments

#### Regulated Market („Regulierter Markt“)

= regulated market according to Art. 4 (21) MiFID II

Segment MIC: STUA

#### Regulated Unofficial Market („Freiverkehr“)

= MTF according to Art. 4 (22) MiFID II

Segment MIC: STUB

# Listing criteria in general

# Listing criteria in general

Market Segment	Regulated Market („Regulierter Markt“)		Regulated Unofficial Market („Freiverkehr“)	
Listing Type	Primary Listing	Secondary Listing	Primary Listing	Secondary Listing
<b>Criteria for the Listing of Securities</b>				
Freely tradable	applicable	applicable	applicable	applicable
Ensuring orderly trading	applicable	applicable	applicable	applicable
Ensuring orderly settlement	applicable	applicable	applicable	applicable
Approval of the issuer	applicable	not applicable	applicable	not applicable
Publication of prospectus	applicable	not applicable	applicable, if a public offer is intended	not applicable
Listing at another trading venue	not applicable	applicable	not applicable	Applicable
Legal Entity Identifier (LEI) of the issuer	applicable	applicable	applicable	applicable

# Listing criteria specifically for ETPs and Investmentfonds

# Listing criteria

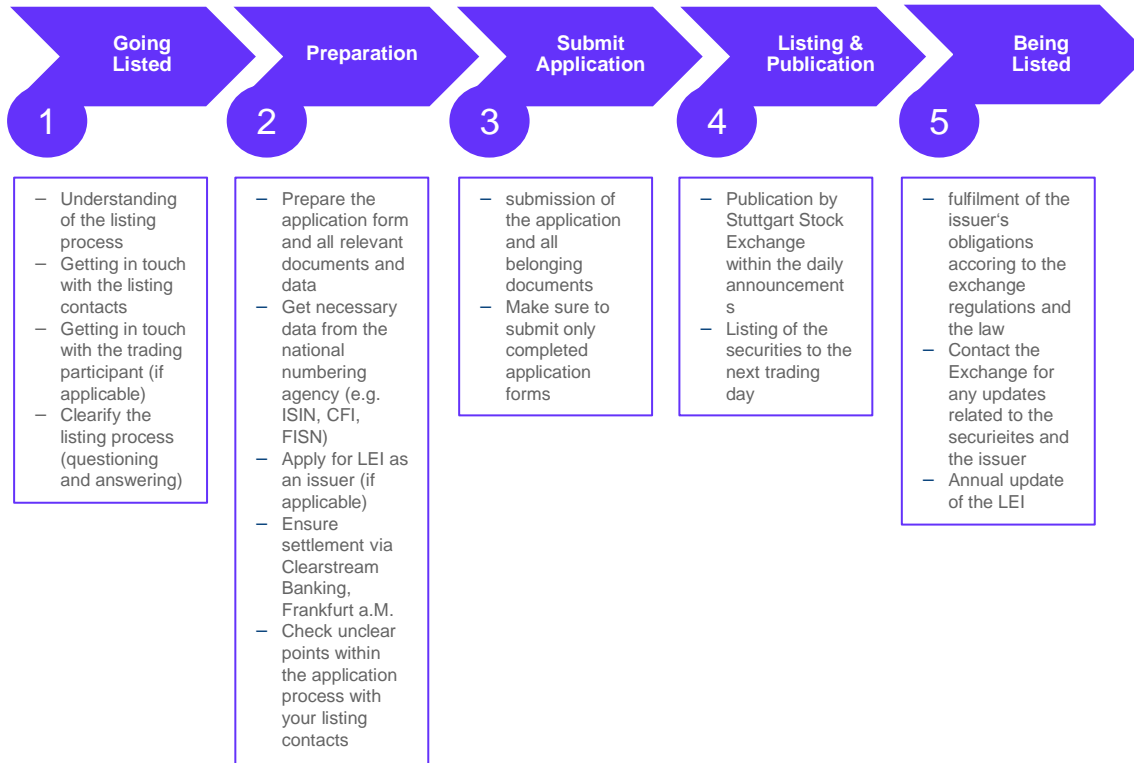
## specifically for ETPs and Investmentfunds

Market Segment	Regulated Market („Regulierter Markt“)		Regulated Unofficial Market („Freiverkehr“)	
Listing Type	Primary Listing	Secondary Listing	Primary Listing	Secondary Listing
<b>Criteria for the listing of equities</b>				
<b>Regulations</b>	Exchange Rules (Börsenordnung): Admission and Introduction to the Regulated Market	Exchange Rules (Börsenordnung): Inclusion into the Regulated Market	Terms and Conditions for Trading in the Regulated Unofficial Market: Inclusion of securities not admitted to, or included in trading at another trading venue	Terms and Conditions for Trading in the Regulated Unofficial Market: Inclusion of securities already admitted to, or included in trading at another trading venue
<b>Fees</b>	The fee for the admission is EUR 3,000.00, the fee for the introduction is EUR 2,500.00 No annual fee	The fee for the inclusion is EUR 250.00 No annual fee	The fee for the inclusion is EUR 1,000.00 The annual fee is EUR 750.00	The fee for the inclusion is EUR 250.00 No annual fee
<b>Application forms</b>	Application Regulated Market Admission Equities + Application Regulated Market Introduction Equities + relevant documents	Application Regulated Market Inclusion Equities	Application Regulated Unofficial Market Equities First Listing + relevant documents	Application Regulated Unofficial Market Equities Secondary Listing
<b>Reference Data</b>	All necessary reference data according to Article 27 MiFIR and Article 4 MAR are raised within the application process			



# Listing process for ETPs and Investmentfonds

# Listing process for ETPs and Investmentfunds



# Contact

## Team Listing

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