



**International
Competition
Network**

ANTI-CARTEL ENFORCEMENT TEMPLATE

**CARTELS WORKING GROUP
Subgroup 2: Enforcement Techniques**

Switzerland

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ICN ANTI-CARTEL ENFORCEMENT TEMPLATE

IMPORTANT NOTES:

This template is intended to provide information for the ICN member competition agencies about each other's legislation concerning (hardcore) cartels. At the same time the template supplies information for businesses participating in cartel activities about the rules applicable to them; moreover, it enables businesses which suffer from cartel activity to get information about the possibilities of lodging a complaint in one or more jurisdictions.

Reading the template is not a substitute for consulting the referenced statutes and regulations. This template should be a starting point only.

1. Information on the law relating to cartels

A. Law(s) covering cartels:	<p>Federal Act of 6 October 1995 on Cartels and other Restraints of Competition (Cartel Act, CartA) https://www.admin.ch/opc/en/classified-compilation/19950278/index.html</p> <p>Available in: German, French, Italian, English and Chinese</p> <p>Chinese Version: https://www.weko.admin.ch/weko/de/home/dokumentation/gesetzgebung.html</p> <p>Federal Act of 6 October 1995 on the Internal Market (IMA) https://www.admin.ch/opc/de/classified-compilation/19950280/index.html</p> <p>Available in: German, French and Italian</p>
B. Implementing regulation(s) (if any): [name and reference number, availability (homepage address) and indication of the languages]	<p>Ordinance of 17 June 1996 on the Control of Concentrations of Undertakings (Merger Control Ordinance, MCO) http://www.admin.ch/ch/e/rs/c251_4.html</p> <p>Available in: German, French, Italian and English</p> <p>Ordinance of 12 March 2004 on Sanctions imposed for Unlawful Restraints of Competition (Cartel Act Sanctions Ordinance, CASO) https://www.admin.ch/opc/en/classified-compilation/20040326/index.html</p> <p>Available in: German, French, Italian and English</p>

<p>in which these materials are available]</p>	<p>Ordinance of 25 February 1998 on the Fees charged under the Cartel Act (Cartel Act Fees Ordinance, CartA-FeeO) http://www.admin.ch/opc/de/classified-compilation/19980154/index.html Available in: German, French, Italian</p>
<p>C. Interpretative guideline(s) (if any): [name and reference number, availability (homepage address) and indication of the languages in which these materials are available]</p>	<ul style="list-style-type: none"> - Notes Regarding the Competition Law Treatment of Vertical Agreements - Notes Regarding the Competition Law Treatment of Vertical Agreements in the Motor Vehicle Trade - Remarks on the Notes Regarding the Competition Law Treatment of Vertical Agreements in the Motor Vehicle Trade - Questionnaires sent by the European Commission to Swiss companies - Guidance on the submission of economic evidence - Practice regarding the notification and the assessment of mergers - Explanatory leaflet regarding deadlines - Notes Regarding Small- and Middle-Sized Undertakings - Notes Regarding the Ratification and Sponsoring of Sporting Goods - Notes Regarding the Use of Aids of Calculation - Remarks on the Ordinance on Fines - Notes on selected instruments of investigation - Notes Regarding Business Secrets <p>https://www.weko.admin.ch/weko/de/home/dokumentation/bekanntmachungen--erlaeuterungen.html Available in: German, French, Italian and partially English</p>
<p>D. Other relevant materials (if any): [availability (homepage address) and indication of the languages in which these materials are available]</p>	<p>Law and policy on competition (LPC, casebook) https://www.weko.admin.ch/weko/de/home/dokumentation/recht-und-politik-des-wettbewerbs--rpw-.html Available in: German, French and Italian</p> <p>Federal Act of 20 December 1968 on Administrative Procedure (Administrative Procedure Act, APA) https://www.admin.ch/opc/en/classified-compilation/19680294/index.html Available in: German, French, Italian, Roman and English</p> <p>Federal Act of 4 December 1947 on Civil Procedure (Federal Civil Procedure Act, FCPA) https://www.admin.ch/opc/de/classified-compilation/19470259/index.html Available in: German, French and Italian</p> <p>Federal Act of 22 March 1974 on Administrative Criminal Law (Administrative Criminal Law Act, ACLA) http://www.admin.ch/opc/de/classified-compilation/19740066/index.html Available in: German, French, Italian, Roman</p>

2. Scope and nature of prohibition on cartels

<p>A. Does your law or case law define the term “cartel”?</p>	<p>The Cartel Act does not define the term “cartel”, but it defines the terms “agreements affecting competition” instead. “Agreements affecting competition” are binding or non-binding agreements.</p>
<p>B. Does your legislation or case law distinguish between very serious cartel behaviour (“hardcore cartels” – e.g.: price fixing, market sharing, bid rigging or production or sales quotas¹) and other types of “cartels”?</p>	<p>Yes according to Swiss legislation only agreements that significantly restrict competition are unlawful. Other agreements are not illegal per se.</p> <p>The following cartel behaviour is presumed to be very serious (hardcore cartels):</p> <ul style="list-style-type: none"> - agreements to fix prices - agreements to limit quantities - agreements to allocate markets <p>The following vertical agreements are considered to be serious:</p> <ul style="list-style-type: none"> - vertical agreements regarding fixed or minimum prices and, in the case of agreements contained in distribution contracts, regarding the allocation of territories to the extent that sales by other distributors into these territories are not permitted.
<p>C. Scope of the prohibition of hardcore cartels:</p>	<p>The aforementioned (2.B.) horizontal hardcore cartels are presumed to eliminate effective competition.</p> <p>If there is proof that agreements regarding prices, quantities or market allocations only significantly restrict competition in a market they are deemed to be justified on grounds of economic efficiency if they:</p> <ul style="list-style-type: none"> - are necessary in order to reduce production or distribution costs, - improve products or production processes, - promote research into or dissemination of technical or professional know-how, - exploit resources more rationally; and - do not enable the parties involved under any circumstances to eliminate effective competition.
<p>D. Is participation in a hardcore cartel illegal <i>per se</i>²?</p>	<p>No, the Cartel Act operates, though, on the presumption that hard core cartels lead to the elimination of effective competition.</p>
<p>E. Is participation in a hardcore cartel a civil or administrative or criminal offence, or a combination of these?</p>	<p>The participation in a hardcore cartel is in principle an administrative offence. A person affected by an unlawful restraint of competition is entitled to file a civil action.</p>

¹ In some jurisdictions these types of cartels – and possibly some others – are regarded as particularly serious violations. These types of cartels are generally referred to as “hardcore cartels”. Hereinafter this terminology is used.

² For the purposes of this template the notion of ‘per se’ covers both ‘per se’ and ‘by object’, as these terms are synonyms used in different jurisdictions.

3. Investigating institution(s)

A. Name of the agency, which investigates cartels:	Secretariat of the Swiss Competition Commission
B. Contact details of the agency:	Competition Commission Secretariat Hallwylstrasse 4 CH-3003 Bern Tel.: +41 58 462 20 40 Fax: +41 58 462 20 53 Online contact form: https://www.weko.admin.ch/weko/en/home/comco/kontakt.html Website: https://www.weko.admin.ch/weko/en/home.html Available in: German, French, Italian and English
C. Information point for potential complainants:	see above (3.B)
D. Contact point where complaints can be lodged:	see above (3.B)
E. Are there other authorities which may assist the investigating agency? If yes, please name the authorities and the type of assistance they provide.	The police assists the Secretariat of the Competition Commission during unannounced inspections.

4. Decision-making institution(s)³ [to be filled in only if this is different from the investigating agency]

A. Name of the agency making decisions in cartel cases:	Competition Commission
B. Contact details of the agency:	Competition Commission Hallwylstrasse 4 CH-3003 Bern Tel.: +41 58 462 20 40 Fax: +41 58 462 20 53

³ Meaning: institution taking a decision on the merits of the case (e.g. prohibition decision, imposition of fine, etc.)

	<p>Online contact form: https://www.weko.admin.ch/weko/en/home/comco/kontakt.html</p> <p>Website: https://www.weko.admin.ch/weko/en/home.html</p> <p>Available in: German, French, Italian and English</p>
C. Contact point for questions and consultations:	See above (4.B.)
D. Describe the role of the investigating agency in the process leading to the sanctioning of the cartel conduct.	The Secretariat of the Swiss Competition Commission opens an investigation in consultation with a member of the presiding body of the Competition Commission. The Secretariat conducts the investigation and issues together with a member of the presiding body any procedural rulings. It carries out unannounced inspections and questions the parties. It issues a motion on which the parties may comment. The Secretariat then proposes this motion including the proposal for a certain sanction to the Competition Commission. It may also propose appropriate measures and the approval of an amicable settlement. The Competition Commission takes the final decision.
E. What is the role of the investigating agency if cartel cases belong under criminal proceedings?	Cartel cases do not fall under criminal law in Switzerland.

5. Handling complaints and initiation of proceedings

A. Basis for initiating investigations in cartel cases: [complaint, ex officio, leniency application, notification, etc.]	The Secretariat may conduct (preliminary) investigations on its own initiative (ex officio), following an undertaking's complaint or on information received from third parties. Additionally, the Secretariat may open an investigation following a leniency application.
B. Are complaints required to be made in a specific form (e.g. by phone, in writing, on a form, etc.)?	<p>No. However, the Secretariat provides practical guidelines and an online form on its website.</p> <p>Practical guideline and online form :</p> <p>https://www.weko.admin.ch/weko/de/home/dienstleistungen/meldeformulare.html</p> <p>(available in German, French, Italian and English)</p> <p>The Secretariat asks the complainants to substantiate their claims more or less thoroughly, depending on whether the complaint is lodged by a citizen, a whistle-blower or an undertaking.</p>
C. Legal requirements for lodging a complaint against a	There are no specific legal requirements. Any person or undertaking may lodge a complaint with the Swiss Competition

cartel: [e.g. is legitimate interest required, or is standing to make a complaint limited to certain categories of complainant?]	Commission.
D. Is the investigating agency obliged to take action on each complaint that it receives or does it have discretion in this respect?	No, the Secretariat is not obliged to take action on each complaint, it has discretionary power.
E. If the agency intends not to pursue a complaint, is it required to adopt a decision addressed to the complainant explaining its reasons?	No, the Secretariat is not required to adopt such a decision. However, it usually informs the complainants about the reasons why it does not intend to pursue a complaint.
F. Is there a time limit counted from the date of receipt of a complaint by the competition agency for taking the decision on whether to investigate or reject it?	No, there is no such time limit.

6. Leniency policy⁴

A. What is the official name of your leniency policy (if any)?	<p>There is no specific name for the leniency policy. The Ordinance of 12 March 2004 on Sanctions imposed for Unlawful Restraints of Competition (Cartel Act Sanctions Ordinance, CASO) regulates the conditions and the procedure for obtaining complete or partial immunity from sanctions. It is publicly available and can be found on the Competition Commissions' website:</p> <p>https://www.admin.ch/opc/en/classified-compilation/20040326/index.html</p> <p>Furthermore the Competition Commissions' website provides a leniency application form:</p> <p>https://www.weko.admin.ch/weko/en/home/services/notifications.html</p>
B. Does your jurisdiction offer full leniency as well as partial leniency (i.e. reduction in the sanction / fine), depending on the case?	Yes. The competition commission grants an undertaking full immunity from sanctions, if it provides information that enables the competition authority to open proceedings, or if it provides evidence that enables the competition authority to establish a hard core infringement of competition.

⁴ For the purposes of this template the notion of 'leniency' covers both full leniency and a reduction in the sanction or fines. Moreover, for the purposes of this template terms like 'leniency' 'amnesty' and 'immunity' are considered as synonyms.

	<p>The Competition Commission shall reduce the sanction up to 50 per cent if an undertaking voluntarily cooperates in proceedings and if it terminates its participation in the infringement of competition law no later than at the time at which it submits evidence. The reduction depends on the importance of the undertaking's contribution to the success of the proceedings.</p> <p>The Competition Commission can reduce the amount of the sanction up to 80 per cent if an undertaking voluntarily provides information or submits evidence on further unlawful restriction of competition.</p>
<p>C. Who is eligible for full leniency?</p>	<p>Only the first applicant is eligible for full immunity.</p>
<p>D. Is eligibility for leniency dependent on the enforcing agency having either no knowledge of the cartel or insufficient knowledge of the cartel to initiate an investigation?</p> <p>In this context, is the date (the moment) at which participants in the cartel come forward with information (before or after the opening of an investigation) of any relevance for the outcome of leniency applications?</p>	<p>The eligibility for leniency does not depend on whether the authority has already opened proceedings. If after the opening an undertaking provides evidence that enables the authority to establish an infringement of the Cartel Act it is still eligible for leniency. There is no specific date for the participants to come forward, although, if the competition authority already possesses sufficient evidence to prove the infringement, immunity from a sanction cannot be granted anymore. Therefore, it is recommendable for undertakings to apply for leniency in the early stages of the proceedings.</p>
<p>E. Who can be a beneficiary of the leniency program?</p>	<p>Only businesses can benefit from the leniency program.</p>
<p>F. What are the conditions of availability of full leniency:</p>	<p>As mentioned above (6.B.), the competition commission grants an undertaking full immunity from a sanction, if it provides information that enables the competition authority to open proceedings, or if it provides evidence that enables the competition authority to establish a hard core infringement of competition. Furthermore, full immunity from a sanction can only be granted if the undertaking:</p> <ol style="list-style-type: none"> a. has not coerced any other undertaking into participating in the infringement of competition and has not played the instigating or leading role in the relevant infringement of competition; b. voluntarily submits to the competition authority all available information and evidence relating to the infringement of competition that lies within its sphere of influence; c. continuously cooperates with the competition authority throughout the procedure without restrictions and without delay; d. ceases its participation in the infringement of competition upon submitting its voluntary report or upon being ordered to do by the competition authority.

	As mentioned above, full immunity can only be granted if the competition authority does not already possess sufficient evidence to prove the infringement.
G. What are the conditions of availability of partial leniency (such as reduction of sanction / fine / imprisonment):	<p>The Competition Commission can reduce the sanction up to 50 per cent if an undertaking voluntarily cooperates in proceedings and if it terminates its participation in the infringement of competition law no later than at the time at which it submits evidence. The reduction depends on the importance of the undertaking's contribution to the success of the proceedings.</p> <p>The Competition Commission can reduce the amount of the sanction up to 80 per cent if an undertaking voluntarily provides information or submits evidence on further unlawful restriction of competition.</p>
H. Obligations for the beneficiary after the leniency application has been accepted:	The undertaking has to continuously and voluntarily cooperate with the competition authority throughout the procedure without restrictions and without delay. It has to terminate its participation in the infringement no later than at the time at which it submits evidence. The reduction depends on the importance of the undertaking's contribution to the success of the proceedings.
I. Are there formal requirements to make a leniency application? [There are no formal requirements. I.e. an undertaking can deposit its leniency application in form of a verbal statement which is subsequently transcribed or it can directly be submitted in written. An undertaking may even apply for leniency submitting anonymous information. Regarding its content, the leniency application shall contain all necessary information on the undertaking itself, on the nature of the reported infringement of competition, on the other undertakings participating in the infringement of competition and on the affected or relevant markets.
J. Are there distinct procedural steps within the leniency program?	The Secretariat acknowledges receipt of the leniency application, indicating the date and time of receipt. It informs the applicant in consultation with a member of the presiding body of a) the extent to which it regards the requirements for complete immunity from the sanction as fulfilled; b) any additional information that the reporting undertaking shall submit and in the case of an anonymous voluntary report c) the period within which the undertaking must disclose its identity. The Competition Commission decides whether to grant complete immunity from the sanction.
K. At which time during the application process is the applicant given certainty with respect to its eligibility for leniency, and how is this done?	As mentioned above, the Competition Commission grants an undertaking full immunity. The applicant is therefore not certain with respect to its eligibility for leniency until the final decision. However, the Secretariat may inform the applicant in consultation with a member of the presiding body at an early stage of the proceeding of the extent to which it regards the requirements for complete immunity from the sanction as fulfilled. Furthermore, it will propose the Competition Commission in its motion to grant full immunity to the applicant, which gives the applicant a high degree of certainty with respect to its eligibility for leniency.
L. What is the legal basis for the power to agree to grant leniency? Is leniency granted on the basis of an agreement or is it laid down in a (formal) decision? Who within the agency	The Competition Commission has the power to grant leniency and takes a formal decision (Art. 11 (1) CASO). The Secretariat may reach an amicable settlement with the parties and offer the prospect of full immunity. The amicable settlement is, however, subject to approval by the Commission.

decides about leniency applications?	
M. Do you have a marker system?	Yes. The Secretariat acknowledges receipt of the leniency application, indicating the date and time of receipt. It informs the applicant of any additional information that the applicant shall submit and in the case of an anonymous leniency application of the period within which the undertaking must disclose its identity. It finally informs the applicant in consultation with a member of the presiding body of the extent to which it regards the requirements for complete immunity from the sanction as fulfilled.
N. Does the system provide for any extra credit⁵ for disclosing additional violations?	Yes, the reduction amounts to up to 80 per cent of the sanction if an undertaking voluntarily provides information or submits evidence on further infringements.
O. Is the agency required to keep the identity of the beneficiary confidential? If yes, please elaborate.	There is no express obligation to keep the identity of the leniency applicant confidential, but there is a general legal base that makes it possible for the agency to keep it confidential (cf. Art. 27 (1) APA). In practice, the Secretariat keeps the leniency applicant's identity confidential as long as possible (cf. the explanatory note and form of the Secretariat regarding the leniency application (https://www.weko.admin.ch/weko/en/home/services/notifications.html)). Although, the final decision does not reveal the name of the leniency applicant it is not excluded that a party familiar with the facts of the case may deduce its identity from the context.
P. Is there a possibility of appealing an agency's decision rejecting a leniency application?	There is only a possibility to appeal against the final decision if the Commission rejected a leniency application.
Q. Contact point where a leniency application can be lodged	Competition Commission Secretariat Hallwylstrasse 4 CH-3003 Bern Tel.: +41 58 462 20 40 Fax: +41 58 462 20 53 Online contact form: https://www.weko.admin.ch/weko/en/home/comco/kontakt.html
R. Does the policy address the possibility of leniency being revoked? If yes, describe the circumstances where revocation would occur.	No.

⁵ Also known as: "leniency plus", "amnesty plus" or "immunity plus". This category covers situations where a leniency applicant, in order to get as lenient treatment as possible in a particular case, offers to reveal information about participation in another cartel distinct from the one which is the subject of its first leniency application.

Can an appeal be made against a decision to revoke leniency?	
S. Does your policy allow for “affirmative leniency”, that is the possibility of the agency approaching potential leniency applicants?	There is no such legal regulation.
T. Does your authority have rules to protect leniency material from disclosure?	Access to the file of the leniency application is allowed exclusively at the premises of the Secretariat. Any form of reproduction (scans, photos, etc.) is prohibited. This applies as a general rule to the reporting undertaking as well as to the other parties of the proceedings. Whether annexes of the leniency application can be consulted depends on the volume of the file. Access usually takes place at the premises of the competition authority; however if the volume is such that an onsite consultation is not reasonable for the parties and if this prevents them from exercising their right to effective defense, copies shall be provided to the parties to the investigation (usually in electronic form), with restrictions as to the extent of their use. This means the copies provided to the parties may be exclusively used for the preparation of the defense in the ongoing administrative cartel procedure before the Swiss competition authorities (but not in civil, criminal and foreign procedures).

7. Settlement

A. Does your competition regime allow settlement?	<p>Yes. According to Article 29 of the Cartel Act the Secretariat may propose a settlement to undertakings, if it considers that a restraint of competition is unlawful.</p> <p>Federal Act of 6 October 1995 on Cartels and other Restraints of Competition (Cartel Act, CartA) https://www.admin.ch/opc/en/classified-compilation/19950278/index.html</p> <p>Available in: German, French, Italian and English.</p>
B. Which types of restrictive agreements are eligible for settlement?	In principle, all types of restrictive agreements are eligible for settlements.
C. What is the reward of the settlement for the parties?	The Competition Commission can reduce the amount of the sanction. Whether it does, depends on the circumstances of each individual case.
D. May a reduction for settling be cumulated with a leniency reward?	A reduction for settling can in principle be cumulated with a leniency reward. This depends though on the circumstances of each individual case.
E. List the criteria (if there is any) determining the cases which are suitable for	There is no such list.

settlement.	
F. Describe briefly the system.	According to Art. 29 LCart the power to decide whether there will be negotiations over a settlement stays with the Secretariat. This does however not prevent undertakings from taking the initiative. The authority is not obliged to settle. In principle, the settlement may be initiated at any time of the investigation. The later the stage of the investigation, the smaller the incentive to settle for the authority.
F. Describe the procedural efficiencies of your settlement system.	The reasoning of the decision will in general be shorter.
G. Does a settlement necessitate that the parties acknowledge their liability for the violation?	No.
H. Is there a possibility for settled parties to appeal a settlement decision at court?	Yes. The normal rules apply (see below 15).

8. Commitment

A. Does your competition regime allow the possibility of commitment?	Yes. Within the framework of settlements and prohibition decisions.
B. Which types of restrictive agreements are eligible for commitment?	In principle, all restrictive agreements are eligible for commitment.
C. List the criteria (if there are any) determining the cases which are suitable for commitment.	There is no such list.
D. Describe which types of commitments are available under your competition law.	There are commitments about future behaviour.
E. Describe briefly the system	Normally the authority proposes commitments within the framework of a settlement or a prohibition decision.
I. Does a commitment decision necessitate that the parties acknowledge their liability for the violation?	No.
J. Describe how your authority monitors the parties' compliance to the commitments.	It asks for regular reports of the involved undertakings.

<p>K. Is there a possibility for parties to appeal a commitment decision at court?</p>	<p>Yes. The normal rules apply (see below 15).</p>
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9. Investigative powers of the enforcing institution(s)⁶

<p>A. Briefly describe the investigative measures available to the enforcing agency such as requests for information, searches/raids⁷, electronic or computer searches, expert opinion, etc. and indicate whether such measures requires a court warrant.</p>	<p>Investigative measures:</p> <ul style="list-style-type: none"> - unannounced inspections including computer searches - seizure of evidence - interviews - requests for information - expert opinion <p>Unannounced inspections are ordered by a member of the presiding body of the Competition Commission in response to a motion from the Secretariat.</p>
<p>B. Can private locations, such as residences, automobiles, briefcases and persons be searched, raided or inspected? Does this require authorisation by a court?</p>	<p>Private locations and automobiles can be searched whereas persons may not be searched. A member of the presiding body of the Competition Commission has to authorise the search.</p>
<p>C. May evidence not falling under the scope of the authorisation allowing the inspection be seized / used as evidence in another case? If yes, under which circumstances (e.g. is a post-search court warrant needed)?</p>	<p>Analogously to criminal law, evidence not falling under the scope of the search warrant can be used as evidence in another case if:</p> <ul style="list-style-type: none"> a. the coercive measure in question was lawful; and b. a coercive measure would have been adequate and lawful with respect to the new evidence.
<p>D. Have there been significant legal challenges to your use of investigative measures authorized by the courts? If yes, please briefly describe them.</p>	<p>No.</p>

⁶ “Enforcing institutions” may mean either the investigating or the decision-making institution or both.

⁷ “Searches/raids” means all types of search, raid or inspection measures.

10. Procedural rights of businesses / individuals

A. Key rights of defence in cartel cases:	<p>The rights following from Article 6 ECHR, as endorsed by the Federal Supreme Court (BGE 139 I 72, 78 et seq., E. 2).</p> <p>Right to be informed in writing by the Commission of the objections it raises against them (Art. 30 (2) Cartel Act).</p> <p>The right to submit a written statement to those objections (Art. 30 (2) Cartel Act) within a set time limit.</p> <p>Right to access the Commission's file (with the exception of business secrets) (Art. 39 Cartel Act in conjunction with Art. 26 et seq. APA)</p> <p>Right to be heard in an oral hearing Art. 30 (2) Cartel Act).</p>
B. Protection awarded to business secrets (competitively sensitive information): is there a difference depending on whether the information is provided under a compulsory legal order or provided under informal co-operation? Please indicate the relevant legal provisions.	<p>The competition authorities are bound by the rules on official secrecy, which includes the duty to protect business secrets under all circumstances.</p>

11. Limitation periods and deadlines

A. What is the limitation period (if any) from the date of the termination of the infringement by which the investigation / proceedings must begin or a decision on the merits of the case must be made?	<p>There is no time limit. However, if the restraint of competition has not been exercised for more than five years by the time an investigation is opened, no sanction can be imposed.</p>
B. What is the deadline, statutory or otherwise (if any) for the completion of an investigation or to make a decision on the merits?	<p>There is no time limitation. The corresponding case law of the ECHR applies though.</p>

<p>C. What are the deadlines, statutory or otherwise (if any) to challenge the commencement or completion of an investigation or a decision regarding sanctions? (see also 15A)</p>	<p>Only the final decision of the Competition Commission may be challenged. The appeal has to be filed within 30 days.</p>
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12. Types of decisions

<p>A. List which types of decisions on the merits of the case can be made in cartel cases under the laws listed under Section 1. [E.g.: finding of an infringement, ordering to bring the infringement to an end, imposition of fines, etc.]</p>	<p>The Competition Commission decides:</p> <ul style="list-style-type: none"> a. to impose sanctions; and/or b. to order to bring the infringement to an end; c. on the appropriate measures d. on the approval of an amicable settlement.
<p>B. List any other types of decisions on the merits of the case relevant particularly in hardcore cartel cases under the laws listed under Section 1 (if different from those listed under 12/A).</p>	<p>See above 12.A.</p>
<p>C. Can interim measures⁸ be ordered during the proceedings in cartel cases? (if different measures for hardcore cartels please describe both⁹.) Which institution (the investigatory / the decision-making one) is authorised to take such decisions? What are the conditions for taking such a decision?</p>	<p>Yes, the Swiss Competition Commission may order interim measures in order to protect the public interest as regards effective competition. Furthermore interim measures may be ordered if,</p> <ul style="list-style-type: none"> - the forecast for the main decision is positive, - there is a threat that effective competition would suffer irreparable damage, - the measure is urgent, - the measure is proportional.

⁸ In some jurisdictions, in cases of urgency due to the risk of serious and irreparable damage to competition, either the investigator or the decision-making agency may order interim measures prior to taking a decision on the merits of the case [e.g.: by ordering the immediate termination of the infringement].

⁹ Only for agencies which answered “yes” to question 2.B. above

13. Sanctions for procedural breaches (non-compliance with procedural obligations) in the course of investigations

<p>A. Grounds for the imposition of procedural sanctions / fines</p>	<p>The following procedural breaches may be sanctioned according to the LCart and/or the Administrative Criminal Code:</p> <ul style="list-style-type: none"> - false testimony; - breaches of amicable settlements and administrative decision; - refusal to provide information or produce documents.
<p>B. Type and nature of the sanction (civil, administrative, criminal, combined; pecuniary or other):</p>	<p>The sanctions for procedural breaches are criminal sanctions.</p>
<p>C. On whom can procedural sanctions be imposed?</p>	<p>On the parties (undertaking) and/or natural persons involved in the proceedings.</p>
<p>D. Criteria for determining the sanction / fine:</p>	<p>False testimony can lead to a fine up to 360 day rates at 3000 Swiss francs.</p> <p>Any undertaking that breaches an amicable settlement, a final and non-appealable ruling of the competition authorities or a decision of an appellate body can be charged up to 10 per cent of the turnover it achieved in Switzerland in the preceding three financial years. In assessing the amount, due account is taken of the likely profit that resulted from the unlawful behaviour.</p> <p>An undertaking that does not, or does only partially comply its obligation to provide information or produce documents will be charged up to 100'000 Swiss francs.</p> <p>Any person who wilfully violates an amicable settlement, a final and non-appealable ruling of the competition authorities or a decision of an appellate body is liable to a fine not exceeding 100'000 Swiss francs.</p> <p>Any person who wilfully does not, or does only partially comply with a ruling of the competition authorities concerning the obligation to provide information, is required to pay a fine of at most 20'000 Swiss francs.</p>
<p>E. Are there maximum and / or minimum sanctions / fines?</p>	<p>See above 13.D.</p>

14. Sanctions on the merits of the case

<p>A. Type and nature of sanctions in cartel cases (civil, administrative, criminal, combined):</p> <p>On whom can sanctions be</p>	<p>The Cartel Act provides with the exception of the above mentioned (see 13.) breaches for procedural rules only financial sanctions. According to the European Court of Human Rights and the Swiss Federal Supreme Court cartel sanctions have criminal character. Such sanctions can be imposed on</p>
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imposed?	undertakings.
B. Criteria for determining the sanction / fine:	<p>The sanction is assessed on the basis of the duration and the seriousness of the unlawful conduct. Determining the sanction, the principle of proportionality has to be observed. Aggravating circumstances are:</p> <ul style="list-style-type: none"> - repeated infringements, - particularly high profits, - the refusal to cooperate with the authorities or attempts to obstruct the investigation, - a leading role in the restraint of competition and - if an undertaking instructed or carried out retaliatory measures in order to enforce the agreement affecting competition. <p>Mitigating circumstances are:</p> <ul style="list-style-type: none"> - The undertaking terminates the restraint of competition after the first intervention of the Secretariat of the Swiss Competition Commission, - an undertaking played a strictly passive role, - an undertaking did not carry out retaliatory measures.
C. Are there maximum and / or minimum sanctions / fines?	In no case will the sanction exceed 10 per cent of the turnover achieved by the undertaking in Switzerland during the preceding three financial years.
D. Guideline(s) on calculation of fines	<p>Ordinance of 12 March 2004 on Sanctions imposed for Unlawful Restraints of Competition (Cartel Act Sanctions Ordinance, CASO) and the corresponding notice on the CASO.</p> <p>https://www.admin.ch/opc/en/classified-compilation/20040326/index.html</p> <p>https://www.weko.admin.ch/weko/en/home/documentation/communications.html</p> <p>available in German, French, Italian and English.</p>
E. Does a challenge to a decision imposing a sanction / fine have an automatic suspensory effect on that sanction / fine? If it is necessary to apply for suspension, what are the criteria?	Appeals have an automatic suspensory effect on sanctions.

15. Possibilities of appeal

A. Does your law provide for an appeal against a decision that there has been a violation of a prohibition of cartels? If yes, what are the grounds of appeal, such as questions of law or fact or breaches of procedural requirements?

The Cartel Act in conjunction with the administrative procedure Act provide for an appeal with the Federal Administrative Court. Grounds of appeal may be:

- a) Questions of law and/or fact
- b) Breaches of procedural requirements.

An appeal against the decision of the Federal Administrative Court may be lodged with the Federal Supreme Court. In general, the Federal Supreme Court only examines questions of law (exceptionally the arbitrary appreciation of the facts).

B. Before which court or agency should such a challenge be made? [if the answer to question 15/A is affirmative]

The Federal Administrative Court and the Federal Supreme Court thereafter.