

SIX
EXCHANGE
REGULATION

CONNEXOR[®] REPORTING MANUAL

(Release Nr. 3.0)

for Reporting Obligations pursuant to Art. 9 of the Directive Regular Reporting Obligations
as well as Annex 1

Table of contents

1	Introduction	4
2	Onboarding	6
2.1	Authorised third parties	7
2.2	Registration / entry	8
2.3	Step 1	9
2.4	Step 2	10
2.5	Step 3	11
2.6	Step 4 (only for authorised third parties)	12
2.7	Step 5	13
2.8	Step 6	14
2.9	Token and PIN	15
2.10	Registered users	15
3	Login	16
3.1	User ID	17
3.2	Token and passcode	18
4	Legal note	21
4.1	Confidentiality	23
4.2	Transmitting information not required by the regulator	27
4.3	Processing of messages by SER	29
4.4	Compliance with reporting requirements in the event of technical problems	29
5	Workflows	30
5.1	Working steps / user options	31
5.1.1	Sending a message to SER	31
5.1.1.1	2-eye principle	32
5.1.1.2	4-eye principle	37
5.1.2	Modifying a message under the 4-eye principle	41
5.1.3	Recalling a message (for 2-eye principle and to SIX Exchange Regulation only "Yes" / message types received by SIX Exchange Regulation only)	42
5.1.4	Replacing a message that has already been processed by SER (for 2-eye principle)	43
5.1.5	Cancel a message that has already been processed by SER (2-eye principle)	45
5.1.6	Cancel a message (4-eye principle)	47
5.1.7	Delete a message (4-eye principle)	50
5.1.7.1	Delete a message that has already been executed – Clear the "My tasks" list	50
5.1.7.2	Delete a message in status "Pending dissemination to market"	51

5.1.8.	Copying messages (cloning).....	52
5.2	Treatment of messages by SER.....	53
5.2.1.	Processing by SER.....	53
5.2.2.	Rejection by SER.....	54
5.3	Exception "SIX Exchange Regulation only".....	55
6	Individual message types.....	56
6.1	Message types that are only sent to SER.....	57
6.1.1.	Address change.....	57
6.1.2.	Change of auditor.....	58
6.1.3.	Recognition of the foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland.....	59
6.1.4.	Change of balance sheet date.....	60
6.1.5.	Changes of contact persons.....	61
6.1.6.	Changes of weblinks.....	62
6.1.7.	Public share buyback program.....	63
6.1.8.	Change of share capital currency.....	64
6.1.9.	Financial reports.....	65
6.1.10.	Sustainability report (optional).....	66
6.1.11.	Opting out / Opting up.....	67
6.1.12.	Capital band.....	68
6.1.13.	Conditional capital and entry commercial register capital (securities from conditional capital), reserve and convertible capital according to Art. 12 and 13 Banking Act (BA).....	69
6.1.14.	Exercise of conditional capital.....	70
6.1.15.	Capital decrease.....	71
6.1.15.1	Capital decrease by declarative reduction.....	71
6.1.15.2	Capital decrease by repayment of nominal value.....	72
6.1.15.3	Capital decrease by destruction of shares.....	73
6.1.16.	Foreign companies: Capital and voting rights.....	74
6.1.17.	Changes to depository agreement.....	75
6.2	Common message types.....	76
6.2.1.	Change of name.....	77
6.2.2.	Messages relating to the GM.....	78
6.2.2.1	Date of the next GM.....	78
6.2.2.2	Date of closure of share resp. GDR register.....	79
6.2.2.3	Invitation to next GM.....	80
6.2.2.4	GM resolutions.....	81
6.2.3.	Notification of dividends.....	82
6.2.3.1	Cash dividends.....	82
6.2.3.2	Share premium dividend.....	84
6.2.3.3	Stock dividend.....	85
6.2.3.4	Commodity dividend.....	86
7	Contacts.....	87
8	Abbreviations/Definitions.....	88

1

Introduction

CONNEXOR® Reporting (electronic reporting platform) is used exclusively to report information that must be disclosed to SIX Exchange Regulation (SER) pursuant to Art. 9 Annex 1 of the Directive on Regular Reporting Obligations ([DRRO](#)) for Issuers with Equity Securities (primary or main listing equity securities resp. Global Depository Receipts (GDRs)). This means that issuers of primary-respectively main-listed equity securities and GDRs use Connexor Reporting to fulfill their reporting obligations (see also Directive on the Use of Electronic Reporting Platform for ad hoc announcements Under Art. 12a Directive Ad hoc Publicity and Reporting Obligations Under Art. 9 Directive on Regular Reporting Obligations [[DRPRO](#)]).

The data pursuant to Art. 10 to 15 DRRO (s. also Annexes 2 to 7) are to be submitted to SER, depending on the message, either by e-mail (reporting-obligations@six-group.com, listing@six-group.com or zulassung@six-group.com), or via the [online form](#).

You can register for Connexor Reporting and access the tool via the following link:

Login (six-swiss-exchange.com)

2

Onboarding

2.1

Authorised third parties

CONNEXOR® Reporting offers issuers the option to fulfil the ad hoc publicity obligations and regular reporting obligations by registering employees or authorised third parties. The registration process differs slightly depending on whether the registration is for employees of the issuer or for authorised third parties. The differences are explicitly stated in the following section.

If the issuer engages third parties (lawyers, consultants, etc.) to fulfil their regular reporting obligations and/or ad hoc publicity obligations, SER must be informed of this in writing via e-mail to ser-platforms@six-group.com, stating the name and address of the persons engaged (including telephone number and e-mail address). This e-mail must be accompanied by a signed power of attorney. Alternatively, the details and power of attorney can also be sent via post to SIX Exchange Regulation AG, Listing, Hardturmstrasse 201, P.O. Box, CH-8021 Zurich. The contact details and the power of attorney must be sent to SER in advance, otherwise the registration process cannot be started.

2.2

Registration / entry

For security reasons, it is only possible to access CONNEXOR® Reporting using a software token (components for user identification and authentication), as well as a user ID and PIN. We recommend that several people possess a token. In the event of absence due to holidays or illness, for example, this ensures that the reports/announcements can be transmitted to SER in a timely manner. Please note that it may take a few days to verify a user's registration and activate their CONNEXOR® Reporting account. To register, the future user must click on the following direct link and click on "Registration": ser-ag.com/connexorreporting.

Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID:

SIX SIS Ltd:

[Registration](#)
[Set Password](#)

Problems with token handling or technical issues?
Please contact our ServiceDesk between Monday to Friday during 08.00 - 12.00 hrs & 13:00 - 17:00 hrs.
Contact No: +41 (0)58 399 4848 Email: servicedesk@six-group.com

CONNEXOR® Reporting:

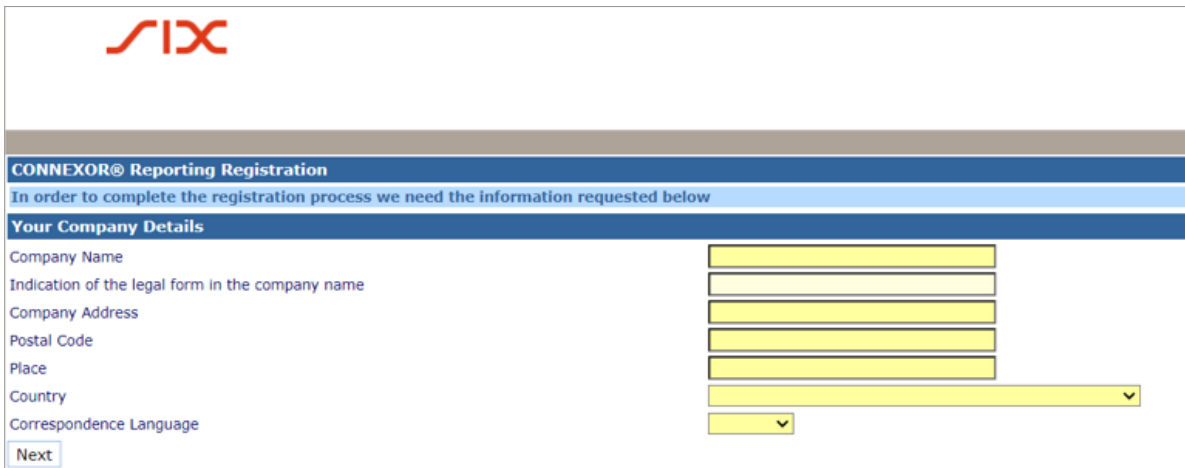
[Registration](#)
[Set Password](#)

If you have any problems with the token or technical problems please send an e-mail to servicedesk@six-group.com

2.3

Step 1

First, the future user must fill the preset fields with their details.



The screenshot shows a web form for "CONNEXOR® Reporting Registration". At the top left is the SIX logo. Below it is a blue header bar with the text "CONNEXOR® Reporting Registration". Underneath is a light blue bar with the instruction "In order to complete the registration process we need the information requested below". The main section is titled "Your Company Details" in a dark blue bar. Below this, there are several input fields: "Company Name", "Indication of the legal form in the company name", "Company Address", "Postal Code", "Place", "Country", and "Correspondence Language". Each of these fields is represented by a yellow rectangular box. The "Country" and "Correspondence Language" fields are dropdown menus. At the bottom left of the form is a "Next" button.

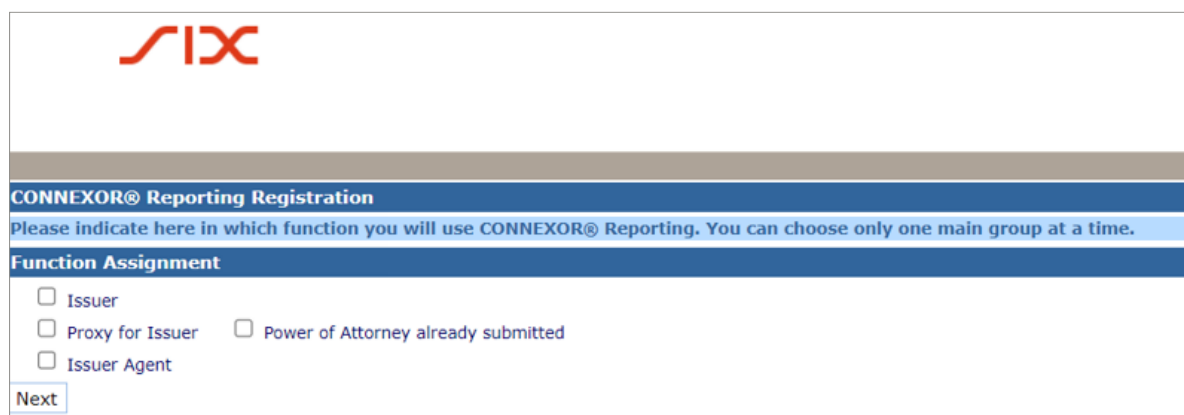
Details of the future user's employer should be entered in the field "Your Company Details". Enter the issuer's details if the future user is an employee of the issuer. If the future user is an authorised third party, the details entered should not be the issuer's, but those of the company for which the third party works (e.g. "XY Lawyers Ltd").

Once the fields are fully and correctly filled out, click on "Next".

2.4

Step 2

The future user then has to enter the function they would like to have when using CONNEXOR® Reporting. Employees of the issuer who would like to register as a future user must select “Issuer”. Third parties (lawyers, consultants, etc.) who are entrusted to fulfil the regular reporting obligations and/or ad hoc publicity obligations must be authorised by the issuer (see section 2 above). Once SER has received the information and the power of attorney, authorised third parties can continue with the registration by selecting “Proxy for Issuer” and “Power of Attorney already submitted”. It is then possible to click on “Next”.



The screenshot shows a web form for "CONNEXOR® Reporting Registration". At the top left is the SIX logo. Below it is a blue header bar with the text "CONNEXOR® Reporting Registration". Underneath is a light blue instruction bar: "Please indicate here in which function you will use CONNEXOR® Reporting. You can choose only one main group at a time." The main content area is titled "Function Assignment" and contains four checkboxes: "Issuer", "Proxy for Issuer", "Power of Attorney already submitted", and "Issuer Agent". A "Next" button is located at the bottom left of the form.

2.5

Step 3

The future user then selects “Add User”.

The screenshot shows a web interface for 'CONNEXOR® Reporting Registration'. At the top, there is a blue header with the text 'CONNEXOR® Reporting Registration' and a sub-header 'Please indicate users who shall be registered for CONNEXOR® Reporting.' Below this is a section titled 'Add User' with a button labeled 'Add User'. Underneath is a table with three columns: 'Name', 'First Name', and 'Business Email'. The table currently contains the text 'No records found'. At the bottom of the table area is a button labeled 'Next'.

A pop-up window opens and the future user must enter their contact details.

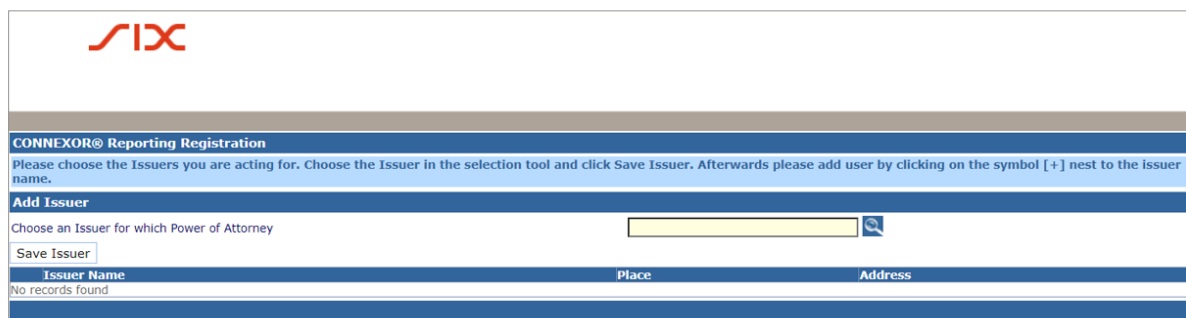
The screenshot shows a 'User Details' form. It includes several input fields: 'Salutation' (a dropdown menu), 'Name' (a text field), 'First Name' (a text field), 'Function in Company' (a text field), 'Business Phone' (a text field), and 'Business Email' (a text field). There is also a 'Correspondence Language' dropdown menu. The 'Authentication Type' is set to 'Futurae Auth (smartphone/mobile application)'. A 'Data Protection' section contains a checkbox and the text: 'By registering for this service, the user confirms to have read, understood and accepted the general [privacy policy](#) of SIX and note for the [concrete use of this service](#).' At the bottom left of the form is a 'Save' button.

The future user must accept the data protection statement and correspondence language. The details must then be saved and the future user can click on “Next” once to continue. The access details for the mobile app from Futurae will be sent directly to the future user as soon as the contact person for regular reporting obligations and/or ad hoc publicity at the issuer has given SER written authorisation.

2.6

Step 4 (only for authorised third parties)

Authorised third parties will then be asked to select the issuer by clicking on the magnifying glass symbol.



The screenshot displays the SIX CONNEXOR Reporting Registration interface. At the top left is the SIX logo. Below it is a blue header bar with the text "CONNEXOR® Reporting Registration". A light blue instruction bar follows, stating: "Please choose the Issuers you are acting for. Choose the Issuer in the selection tool and click Save Issuer. Afterwards please add user by clicking on the symbol [+] next to the issuer name." Below this is a section titled "Add Issuer". It contains the text "Choose an Issuer for which Power of Attorney" and a search input field with a magnifying glass icon. A "Save Issuer" button is located below the search field. At the bottom, there is a table with columns for "Issuer Name", "Place", and "Address". The table currently shows "No records found".

Issuer Name	Place	Address
No records found		

2.7

Step 5

Once the authorised third party has selected the issuer or the person employed by the issuer has completed step 3, the future user will be asked to select the validation method.

CONNEXOR® Reporting Registration

Which validation standard do you wish? With the two-eye principle you can enter and forward data as an only user. The four-eye principle requires another user to check and forward your entered data. If you choose the four-eye principle please consider the following:

- Make sure that at least one user beside you is registered with the same validation standard.
- If user 2 (with four-eye principle) makes modifications in your entry you need at least another user who can forward the report. This hasn't to be necessarily user 1.

Either 2-eyes or 4-eyes principle has to be chosen. Click on [Please Select](#) in column Validation.
For further information please click [here](#).

Assign Issuer Role

Name	First Name	Business Email	Validation	Role
Mustermann	Max	test@test.com	Please Select	

As part of the registration, the future user must opt for either 2-eye principle or 4-eye principle. 2-eye principle means the user can enter the reports and send them directly to SER. 4-eye principle means one person enters the report and a second person must “approve” it. The second person can also amend the report. In this case, the report must be approved again by another user if the user who made the changes has 4-eye principle. The report is sent directly to SER, if the user has 2-eye principle. The users who enter and send reports for an issuer can have 2-or 4-eye principle. In practice, however, it is impossible for only one person per issuer to register for CONNEXOR® Reporting with 4-eye principle, as it would not be possible to send any reports to SER. We also do not recommend that a company registers two people, both with 4-eye principle – if one of these people is absent, the other person would be unable to transmit a report via CONNEXOR® Reporting.

2.8

Step 6

The last registration step is to select the permission (role). The future user can select **“Adhoc”**, **“Reporting Obligation”** or **“Both”**. Select **“Adhoc”** to transmit ad hoc announcements to SER, to fulfil regular reporting obligations select **“Reporting Obligation”** and to fulfil both obligations, select **“Both”**. Now the future user can confirm their registration by clicking on “Save” and then click on “Confirm” to finish their registration.

Validation Details	
Name	Mustermann
First Name	Max
Business Email	mustermann@test.ch
Principle	<input type="text" value=""/>
Role	<input type="text" value=""/>
<input type="button" value="Close"/> <input type="button" value="Save"/>	

The registration is then confirmed and the future user receives a confirmation e-mail.

Thank you for your registration for CONNEXOR® Reporting. Your information will be checked and processed. The RSA token (to login CONNEXOR® Reporting) and RSA user manual will be sent to you by postal mail within the next few days. The Futarae activation link (to login CONNEXOR® Reporting) and Futarae user manual will be sent to you by e-mail. If you already have a token you have to use this one. You will be informed as soon as you are connected to the new service. If you have any problems with the token or technical problems please send an e-mail to servicedesk@sisclear.com.

2.9

Token and PIN

When logging into CONNEXOR® Reporting for the first time, the user must set their personal PIN by following the instructions sent by SIX SIS AG for the Futurae app. If it is not possible to access the tool, please contact the service desk (servicedesk@sisclear.com, phone: +41 58 399 4848). If a user no longer requires his CONNEXOR® Reporting account, SER must be informed immediately via e-mail (ser-platforms@six-group.com).

2.10

Registered users

People who already have a CONNEXOR® Reporting login and would like to expand their existing role with an additional role or deregister existing roles are requested to contact the following address (ser-platforms@six-group.com, phone: +41 58 399 3030). Authorised third parties who already have a CONNEXOR® Reporting Login and want to add another role to their existing role must register under the following direct link Login (six-swiss-exchange.com) and follow the above instructions for registration in the same way.

3

Login

3.1

User ID

The user's registered e-mail address is their **user ID**.



Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID:

A screenshot of a web application login page. The title bar reads "Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting". Below the title bar, there is a label "User ID:" followed by a text input field. A red oval is drawn around the input field. Below the input field is a "Continue" button.

After entering the e-mail address, click on "**Continue**".



Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID:

A screenshot of the same web application login page. The title bar and "User ID:" label are the same. The input field is now empty. A red oval is drawn around the "Continue" button.

3.2

Token and passcode

The user is then prompted to enter the **“Passcode”**. The **“Passcode”** consists of a PIN, to be set when logging in for the first time, and the sequence of numbers randomly generated by the token of the Futura mobile app.



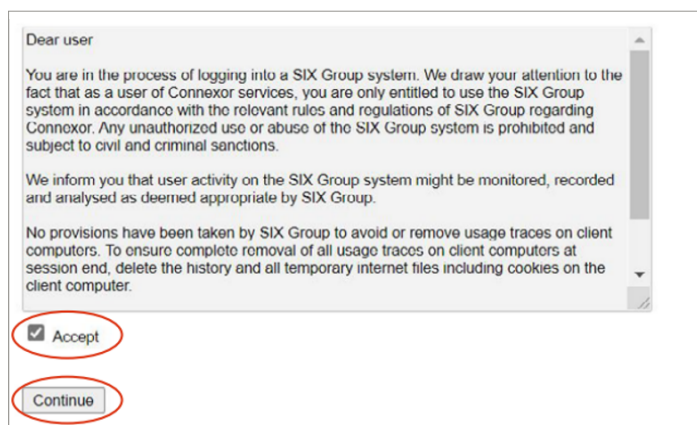
The screenshot shows the login page for 'Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting'. It includes fields for 'User ID' (with a redacted email address), 'Short Name' (with a redacted name), and 'Passcode'. The 'Passcode' input field is highlighted with a red oval. A 'Login' button is located at the bottom left.

After entering the passcode, click on **“Login”**.



This screenshot is identical to the previous one, but the 'Login' button at the bottom left is now highlighted with a red oval.

Once the users has read the General Terms and Conditions and consented by ticking **“Accept”**, they can click on **“Continue”**.



The screenshot shows a dialog box titled 'Dear user' containing the following text: 'You are in the process of logging into a SIX Group system. We draw your attention to the fact that as a user of Connexor services, you are only entitled to use the SIX Group system in accordance with the relevant rules and regulations of SIX Group regarding Connexor. Any unauthorized use or abuse of the SIX Group system is prohibited and subject to civil and criminal sanctions. We inform you that user activity on the SIX Group system might be monitored, recorded and analysed as deemed appropriate by SIX Group. No provisions have been taken by SIX Group to avoid or remove usage traces on client computers. To ensure complete removal of all usage traces on client computers at session end, delete the history and all temporary internet files including cookies on the client computer.' At the bottom, there is a checked checkbox labeled 'Accept' and a 'Continue' button. Both the checkbox and the button are highlighted with red ovals.

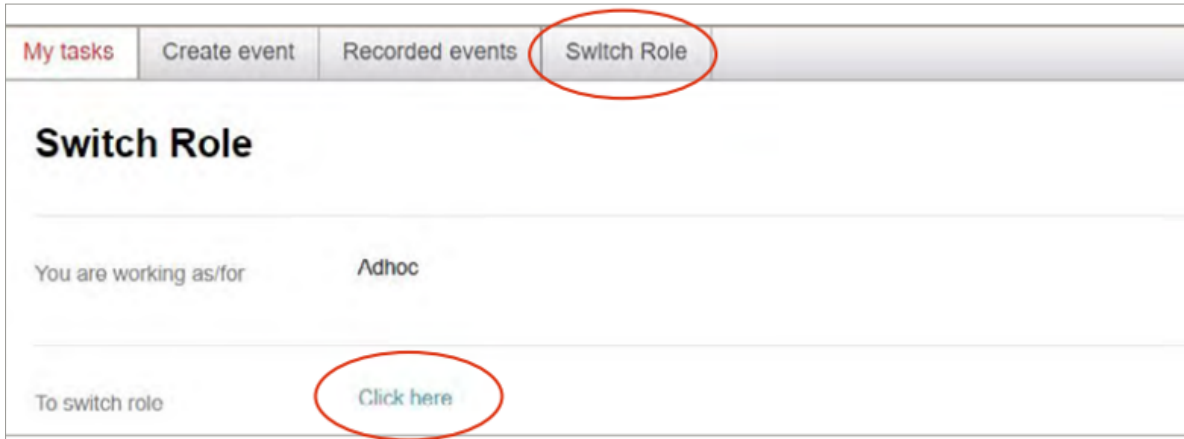
Particularities for users with several roles (adhoc and reporting obligations)

If a user is authorised both to transmit ad hoc announcements and to fulfil the regular reporting obligations, they will be asked to select their preferred role (“Adhoc” or “Reporting Obligations”) when logging in for the first time (please make sure that the browser allows pop-up windows).

Switch Role

<input type="radio"/>	Adhoc
<input type="radio"/>	Reporting Obligations

Depending on the selected role, only the reports/announcements designated for that role will be displayed. The role can be changed during a session. To do so, the user must click on “Switch Role” and select the link “Click Here”.



When logging out, CONNEXOR® Reporting saves the last selected role. When logging in next time, the user is assigned the last saved role. When logging in next time, if the user would like to submit a report/announcement associated with the other role, they must change the role using “Switch Role” as described above.

4

Legal note

Pursuant to Art. 55 of the Listing Rules in conjunction with Art. DRRO, issuers with primary- or main-listed equity securities and GDRs on SIX Swiss Exchange Ltd (SIX Swiss Exchange) are obliged to disclose certain information to SER within specific deadlines. The content of the individual reports, the applicable deadlines and the requested enclosures are listed in Annex 1 of the DRRO.

Certain message types (events) are not sent to SER, but are rather intended exclusively for SIX SIS Ltd. Completion of the relevant entry fields and transfer of the data by the issuers is carried out on a voluntary basis. Under stock exchange law, the companies are not required to provide these messages. For any questions with regard to these events, please contact SIX SIS Ltd (paying.agents@six-group.com).

Please note that this manual contains only explanations on the message types (events) that are sent to SER! Under the **“Help”** button, you will find a list of the message types (events) that must be provided to SER as part of the reporting obligations.

The screenshot displays a web interface titled "My tasks". At the top, there are two tabs: "My tasks" (active) and "Drafts". Below the tabs are search filters: "Description" (text input), "Reference" (text input), "Issuer ID" (text input with value "19595"), "Creation Date from / to" (date range from "27.06.2024" to "04.07.2024"), "Event" (dropdown menu), and "Sort on" (dropdown menu with "Update date" and "Descending" selected). There are "Query" and "Reset" buttons. Below the filters, it states "0 records found (0.004sec)". A table with the following columns is shown: "Name of issuer ISIN", "Description Reference", "Event", "Creation date Update date", and "User". Below the table, it again states "0 records found (0.004sec)". At the bottom left, there are "Print" and "Help" buttons. A red arrow points to the "Help" button.

4.1

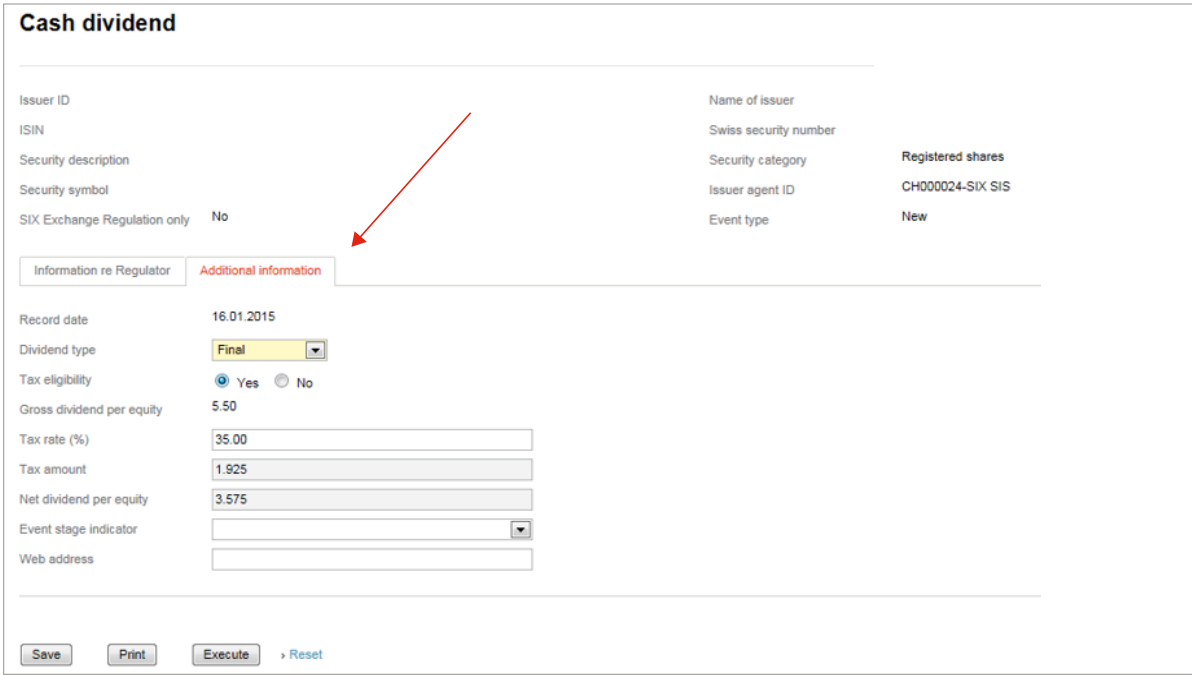
Confidentiality

In principle, certain types of messages (events) are not only sent to SER but also to the main paying agent of the issuer (Issuer Agent) in question and SIX SIS Ltd, which then forwards the information to its clients. By sending these messages, the contents of them automatically becomes public (see the notes below on the label "SIX Exchange Regulation only" with respect to the possibility of sending a message to SER on a confidential basis). This affects the following message types (events):

- Change of name (provided that the ISIN changes);
- Dividend reports (cash dividend, share premium dividend, stock dividend, commodity dividend);
- Date of next GM;
- Date of closure share resp. GDR register;
- Invitation to next GM;
- GM resolutions.

In this context, it is **important** to note that - **if the message contains new potentially price-sensitive facts (e.g. certain GM agenda items) - first a notice in accordance with the rules on ad hoc publicity has to be published before the message is sent via CON-NEXOR® Reporting, as long as you do not click the "Yes" button in the "SIX Exchange Regulation only" label (s. also below).**

For messages types (events) that are sent to more than one recipient, there are two sub-types: Messages types (events) with or without the **“Additional information”** tab (see section 4.2 below).



The screenshot shows a web form titled "Cash dividend". At the top, there are two columns of fields: Issuer ID, ISIN, Security description, Security symbol, and SIX Exchange Regulation only (set to No) on the left; and Name of issuer, Swiss security number, Security category, Issuer agent ID, and Event type (set to New) on the right. A third column on the right contains "Registered shares" with the value "CH000024-SIX SIS". Below these fields are two tabs: "Information re Regulator" and "Additional information", with a red arrow pointing to the latter. The "Additional information" section contains: Record date (16.01.2015), Dividend type (Final), Tax eligibility (Yes selected), Gross dividend per equity (5.50), Tax rate (%) (35.00), Tax amount (1.925), Net dividend per equity (3.575), Event stage indicator (dropdown), and Web address (text input). At the bottom are buttons for Save, Print, Execute, and a link for Reset.

Message types (events) without the “Additional information” tab

If the company uses the 2-eye principle, the message is sent “externally” by the user who entered the message in the tool by clicking on the “Execute” button. If the user has selected the 4-eye principle, the message is only sent “externally” once the second user has also clicked on the “Execute” button, unless the latter has made any changes to the message. If the second user changes the message, the message can only be sent by clicking on “Execute” if this user is set up for the 2-eye principle. Otherwise the message must be “approved” by another user prior to being sent externally by clicking on the “Execute” button.

Message types (events) with the “Additional information” tab

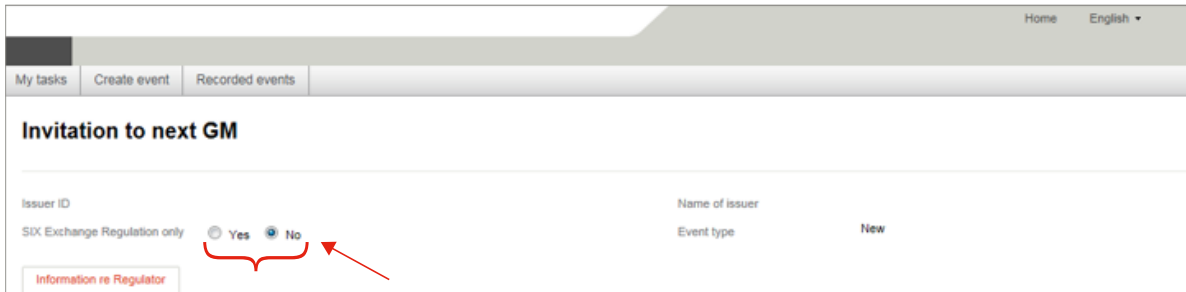
For these message types (events), after entering the message a **“Pop-up”** appears asking whether the user wants to enter additional information to be sent to the main paying agent and/or SIX SIS Ltd. If the user clicks on **“No”**, the message is sent to the main paying agent and/or to the SIX SIS Ltd if the user is set up for the 2-eye principle. With the 4-eye principle, the message must be sent by a second user (see section 2.7 above).

If the user clicks on **“Yes”**, additional information can be entered before sending the message to the main paying agent and/or SIX SIS Ltd under the 2-eye principle. With the 4-eye principle, a second user has to send the message to SER as well as the main paying agent and/or SIX SIS Ltd.

The issuer can enter information for SER with any message type (event). These comments, which must be entered into the field **“Note to SIX Exchange Regulation”**, are only sent to SER. For certain message types (events) it is possible to enter comments for third parties (main paying agents, SIX SIS Ltd) as well as the market. These can be entered into the field **“Remarks to market”**. These comments are published, for example, in the official messages pursuant to Art. 6 DRRO.

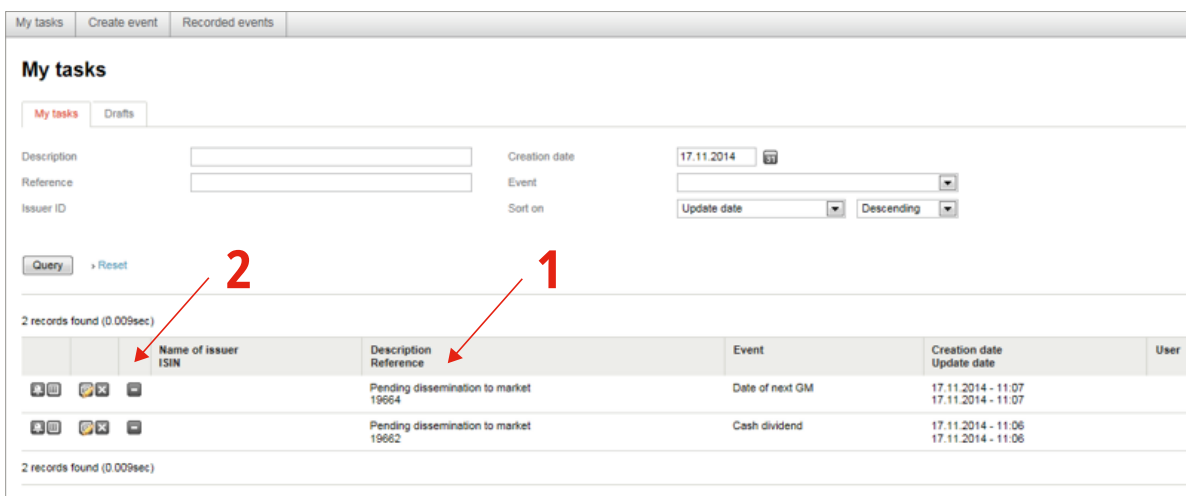
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>

If a company wishes to send a message for the message types (events) listed above initially only to SER on a confidential basis, the user in question can send the message exclusively to SER by clicking on the **“SIX Exchange Regulation only”** button.



For the message in question to be received subsequently by the main paying agent and/or SIX SIS Ltd at a later date, the issuer must send the message again. The user will receive a corresponding note under the **“My tasks”** tab. The message is set in status **“Pending dissemination to market”** (arrow no. 1).

If the issuer does not want to send the message to the main paying agent and/or SIX SIS Ltd at a later time, he has the possibility to delete the corresponding message by clicking on the corresponding icon (arrow no. 2).



4.2

Transmitting information not required by the regulator

For certain message types (events) that are not only sent to SER (see list above section 4.1), the issuer can enter additional data – in addition to the information required under stock exchange law – on a voluntary basis. This information does not go to SER, but only to the main paying agent and/or SIX SIS Ltd. If a user has entered a message for SER, a pop-up appears for this message type asking whether additional information should be added. If the user clicks on **“Yes”**, the relevant fields can be completed under the “Additional information” tab (see also section 4.1 above). As already mentioned, the user can do this to provide information for third parties. However, this is not a requirement under stock exchange law. As such, the judicial bodies of the stock exchange will not issue any sanctions if the fields under the “Additional information” tab are not completed. This affects the following message types (events):

- Cash dividend;
- Share premium dividend;
- Stock dividend;
- Invitation to next GM;
- GM resolutions.

If **“No”** is clicked for **“SIX Exchange Regulation only”**, the following pop-up appears for these message types (events).

Confirmation needed

Date from: 26.07.2012 Date to: 26.07.2012

You have completed entering information fulfilling your regulatory obligations.
Do you want to continue to enter additional information?

Note: For 2-eye users: SIX Exchange Regulation has received the message. For 4-eye users: SIX Exchange Regulation will receive the message when the second user has approved this message type.

All Updated on Descending

Yes No

If the user selects **“No”** in respect of **“SIX Exchange Regulation only”** for the reports **“Invitation to next GM”** and **“GM resolutions”** and does not want to enter any additional data under the **“Additional information”** tab, an entry under the **“My tasks”** tab with the status **“Pending dissemination to market”** will be displayed. The user can disregard this task, if he does not want to enter additional information to the market. The task can be deleted from the task list, if this is wished (arrow no. 1).

As noted above, the reporting obligation under the Directive on Regular Reporting Obligations by completing the information under the first **“Information re Regulator”** tab has been fulfilled.

The screenshot shows the 'My tasks' interface. At the top, there are tabs for 'My tasks', 'Create event', and 'Recorded events'. Below the tabs, there are input fields for 'Description', 'Reference', and 'Issuer ID'. To the right, there are filters for 'Creation date' (18.02.2016), 'Event', and 'Sort on' (Update date, Descending). A 'Query' button and a '+ Reset' link are also present. Below the filters, a table displays one record. A red arrow points to the 'Name of issuer' field in the table row.

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
Issuer Test003	Pending dissemination to market 23125	Invitation to next GM	18.02.2016 - 10:09 18.02.2016 - 10:43	

4.3

Processing of messages by SER

SER processes the messages it receives via CONNEXOR® Reporting or rejects it. Under no circumstances does it make changes to the contents of the message. Only the issuer is responsible for the accuracy of the contents of the message.

4.4

Compliance with reporting requirements in the event of technical problems

If technical problems are encountered when using the tool, please contact SER immediately by telephone (+41 58 399 3030) or by e-mail (ser-platforms@six-group.com). If CONNEXOR® Reporting is not available for technical reasons, the issuer must still send SER the required information in due time via e-mail or the online form.

5

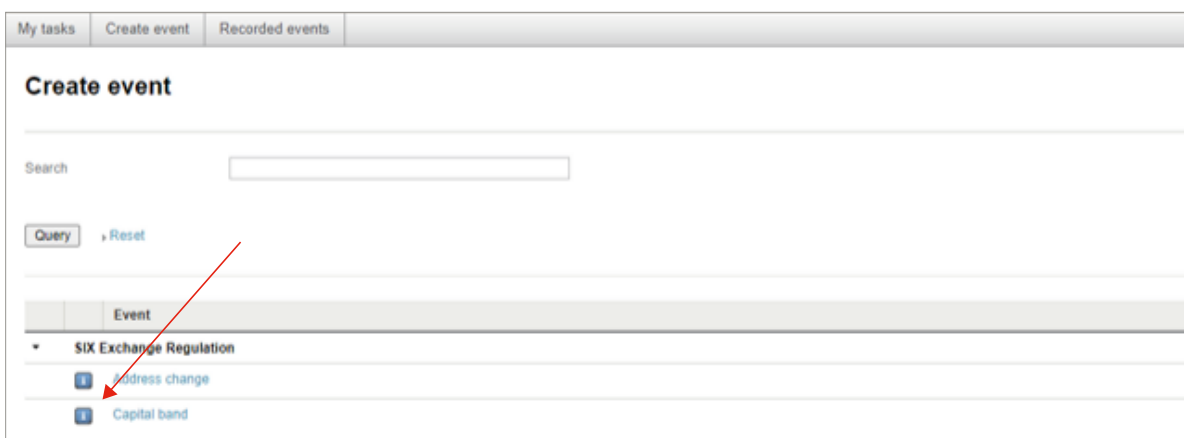
Workflows

5.1

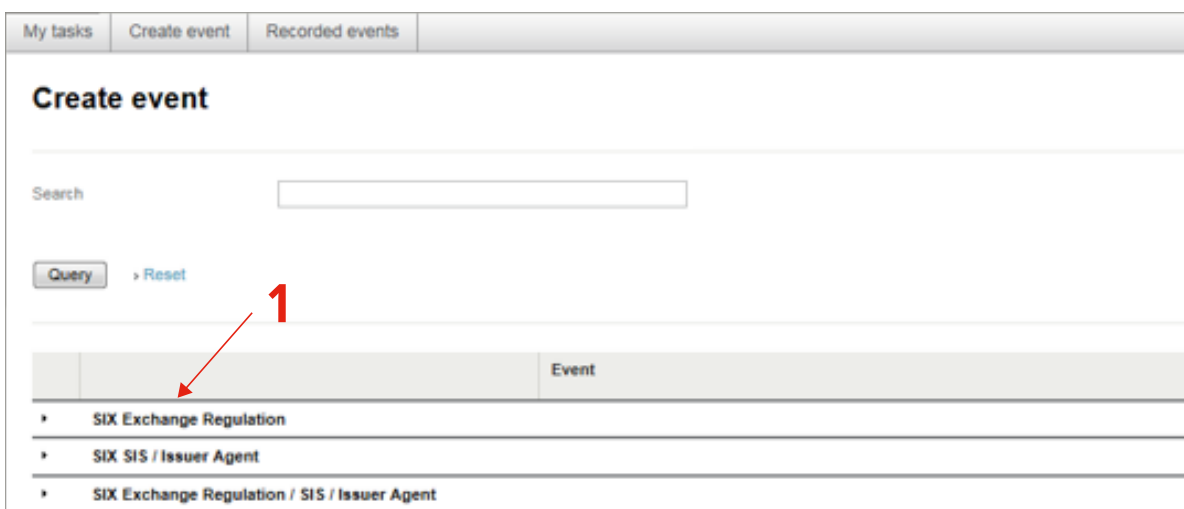
Working steps / user options

5.1.1. Sending a message to SER

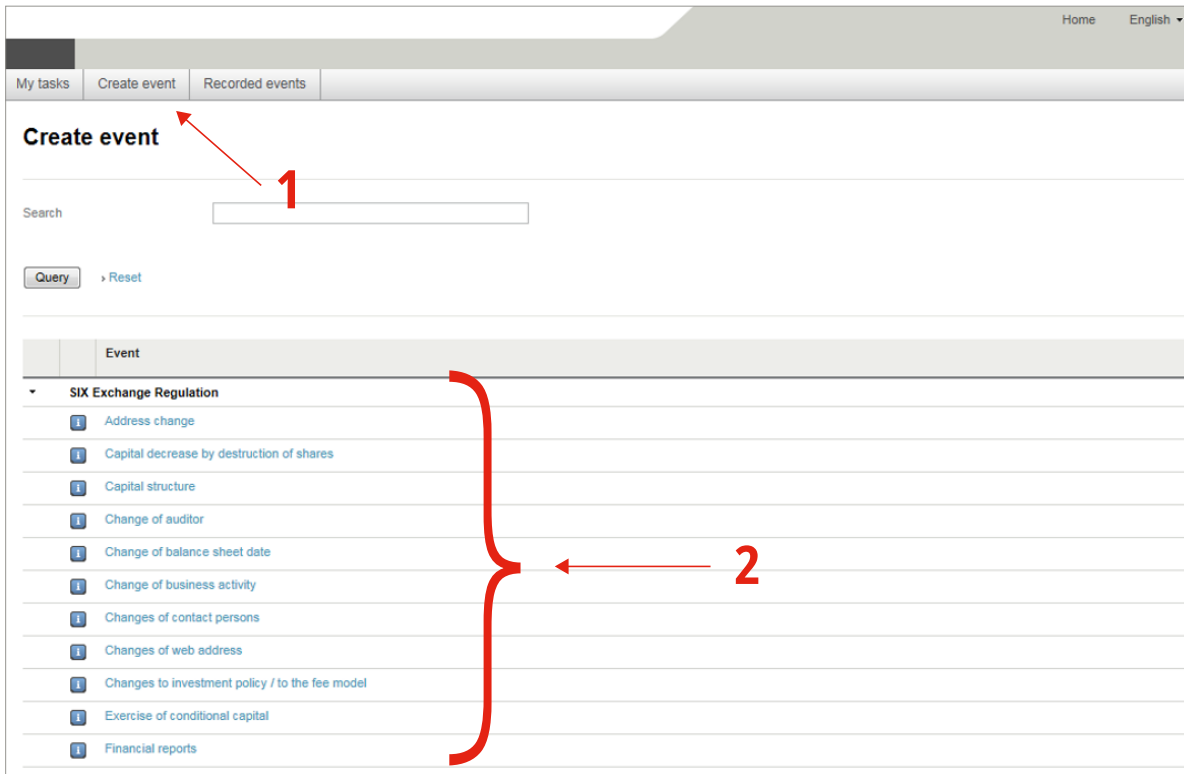
Please click on the **“Create event”** tab to display the list of message types (events). Then select the message type you want. To show information about the message type (event), click on the relevant **“i”** button.



Please note that the list containing the events (message types) contains both events (message types) that the issuer is required to send to SER as part of its reporting obligations and events that it may report to SIX SIS Ltd on a voluntary basis (see also section 4 above). The respective addressees of the individual message types are grouped in the list (arrow no. 1).

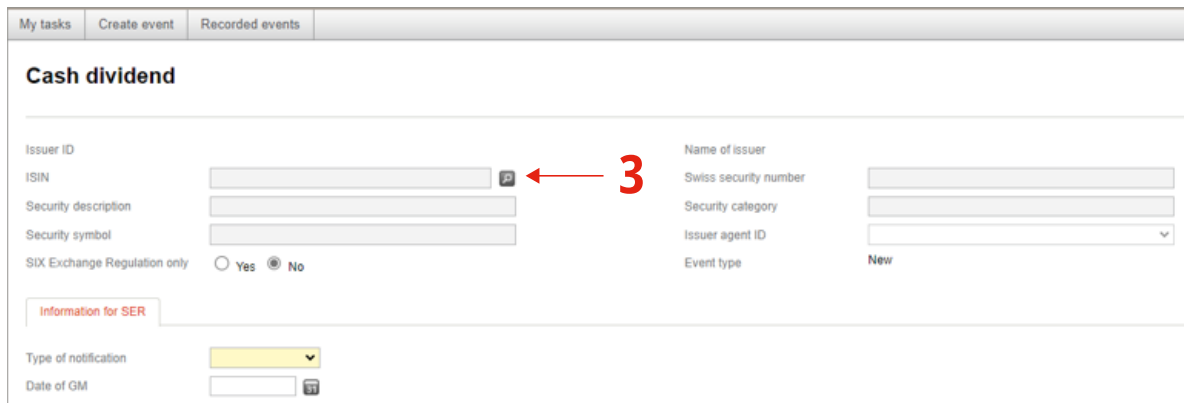


5.1.1.1 2-eye principle



The screenshot shows the 'Create event' form. At the top, there are navigation tabs: 'My tasks', 'Create event', and 'Recorded events'. The 'Create event' tab is active. Below the tabs, there is a search bar with a magnifying glass icon and a 'Query' button. A red arrow labeled '1' points to the search bar. Below the search bar, there is a table with a header 'Event'. The table contains a list of events under the category 'SIX Exchange Regulation'. A red bracket and arrow labeled '2' point to this list of events.

Click on the magnifying glass button.



The screenshot shows the 'Cash dividend' form. It contains several input fields for issuer information: 'Issuer ID', 'ISIN', 'Security description', 'Security symbol', 'SIX Exchange Regulation only' (with radio buttons for 'Yes' and 'No'), 'Name of issuer', 'Swiss security number', 'Security category', 'Issuer agent ID', and 'Event type'. A red arrow labeled '3' points to the magnifying glass icon next to the 'ISIN' field. Below the main form, there is a section titled 'Information for SER' with a dropdown for 'Type of notification' and a date field for 'Date of GM'.

If, exceptionally, an issuer has more than one equity security listed on SIX Swiss Exchange, then it is possible to get the relevant ISIN by search criteria (arrow no. 4a). Otherwise, click directly under the relevant ISIN (arrow no. 4b).

ISIN

ISIN

Swiss security number (SSN)

Security description

4a

2 records found (0.035sec)

ISIN	Swiss security number (SSN)	Security description	Security category	Security symbol
<input type="button" value="i"/>				
<input type="button" value="i"/>				

2 records found (0.035sec)

4b

Please note that for certain message types (events) it is not possible to select **“Yes”** or **“No”** under the label **“SIX Exchange Regulation only”**. There is no option to choose. For more information, see section 4.1 above.

My tasks | Create event | Recorded events

Cash dividend

Issuer ID

ISIN

Security description

Security symbol

SIX Exchange Regulation only Yes No **5**

Name of issuer

Swiss security number

Security category

Issuer agent ID

Event type

For certain message types (events), you have to select your main paying agent from the list of issuer agents. If a paying agent does not register for CONNEXOR® Reporting, it will not appear in the list. In this case, click on the **“Yes”** button in the **“SIX Exchange Regulation only”** label, and then enter the message. The message will be sent afterwards only to SER.

My tasks | Create event | Recorded events

Cash dividend

Issuer ID

ISIN

Security description

Security symbol

SIX Exchange Regulation only Yes No

Name of issuer

Swiss security number

Security category

Issuer agent ID

Event type

6

The fields marked in yellow must be completed, otherwise the message entered cannot be sent. The white fields must only be completed in certain circumstances or on a voluntary basis (as is the case for the **“Remarks to market”** field).

The screenshot shows a form titled "Information re Regulator". The form contains several fields, some of which are highlighted in yellow. A red bracket on the right side of the form groups the yellow-highlighted fields, with a red arrow pointing to the number "7". The fields are:

- Type of notification: Definitive
- Ex date (Date of exchange adjustment): [Yellow]
- Payment date: [Yellow]
- Replacement for ordinary dividends: Yes No
- Coupon number: [White]
- Currency: CHF
- Gross amount payable per equity: [Yellow]
- Previous nominal value: 0.5
- New nominal value: [Yellow]
- Note to SIX Exchange Regulation: [White]
- Remarks to market: [White]
- Contact person: [Yellow]
- Telephone (direct): +41

The screenshot shows the "Attachments" section of the form. It contains a table with columns "Type" and "Description". Below the table, there is an "Upload" button highlighted with a red arrow and the number "8". At the bottom of the section, there are buttons for "Save", "Print", "Execute", and "Reset".

The report has been saved successfully.

For certain message types (events), additional documents may also have to be sent to SER as PDF attached to the message (e.g. articles of incorporation, commercial register extract). If required, additional documents can also be uploaded. Click on the **“Upload”** button to do so. Note: the name of the PDF could not be longer than 49 characters.

The screenshot shows the "Attachments" section of the form. It contains a table with columns "Type" and "Description". Below the table, there is an "Upload" button highlighted with a red arrow and the number "9". At the bottom of the section, there are buttons for "Print", "Execute", and "Reset".

Attachment

Type ← **10**

Description

Attach file

Attachment

Type

Description

Attach file ← **11**

Attachment

Type

Description

Attach file

← **12**

✓ Attachment has been uploaded successfully.

▾ Attachments Commercial register excerpt

Type	Description
<input checked="" type="checkbox"/> <input type="checkbox"/> Commercial register excerpt	

← **13**

Attachment

Type ← **14**

Description

Attach file

Attachment

Type

Description

Attach file ← **15**

Attachment

Type: Articles of incorporation

Description:

Attach file:

← **16**

✓ Attachment has been uploaded successfully.

If you have completed the entry fields correctly and uploaded the required documents, then click on **“Execute”**. Under the 2-eye principle, the message will now be sent to SER and depending on the message, to third parties as well. For message types (events) where it is possible to enter additional voluntary information, a pop-up appears if the **“No”** button was clicked under the label **“SIX Exchange Regulation only”** (see also section 4.1 f.).

Attachments

Type	Description
<input checked="" type="checkbox"/> <input type="checkbox"/> Articles of incorporation	
<input checked="" type="checkbox"/> <input type="checkbox"/> Commercial register excerpt	

← **17**

✓ Your action has been completed successfully.

If you click on the **“Recorded events”** tab and then the **“Query”** button, you will see a list of all the messages entered. Next to each of the messages you will see the message status.

My tasks | Create event | **Recorded events**

Recorded events ← **18**

ISIN:

Search by: Updated on

Event:

Issuer ID:

Type of notification: ← **19**

File number:

Search | Advanced search

Date from / to: 17.11.2014 | 17.11.2014

Event status:

Updated by:

Event type:

Sort on: Updated on | Descending

Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
		Capital decrease by repayment of nominal value New Definitive	05.01.2015 06.01.2015 07.01.2015	Disseminated Pending by issuer agent Waiting to be processed by SER	17.11.2014 12:07:39	

5.1.1.2 4-eye principle

Home English ▾

My tasks Create event Recorded events

Create event

Search

Query > Reset

Event	
▾	SIX Exchange Regulation
<input type="checkbox"/>	Address change
<input type="checkbox"/>	Capital decrease by destruction of shares
<input type="checkbox"/>	Capital structure
<input type="checkbox"/>	Change of auditor
<input type="checkbox"/>	Change of balance sheet date
<input type="checkbox"/>	Change of business activity
<input type="checkbox"/>	Changes of contact persons
<input type="checkbox"/>	Changes of web address
<input type="checkbox"/>	Changes to investment policy / to the fee model
<input type="checkbox"/>	Exercise of conditional capital
<input type="checkbox"/>	Financial reports

Home English ▾

My tasks Create event Recorded events

Opting out / Opting up

Issuer ID

SIX Exchange Regulation only No

Name of issuer

Event type New

Information re Regulator

Type of notification **Definitive**

Opting out / Opting up

Percentage

Note to SIX Exchange Regulation

Contact person

Telephone (direct)

Attachments

Type	Description
No records found	

Upload

Save Print Execute > Reset

4 (User 1)

✓ The report has been saved successfully.

Opting out / Opting up

Issuer ID Name of issuer

SIX Exchange Regulation only **No** Event type **New**

Information re Regulator

Type of notification **Definitive**

Opting out / Opting up

Percentage

Note to SIX Exchange Regulation

Contact person **IBCISSUER11 IBCISSUER11**

Telephone (direct)

Attachments

Type	Description
No records found	

← **5 (User 1)**

Attachment

Type ← **6 (User 1)**

Description

Attach file ← **7 (User 1)**

Attachment

Type

Description

Attach file

← **8 (User 1)**

 Attachment has been uploaded successfully.

Opting out / Opting up

Issuer ID Name of issuer

SIX Exchange Regulation only **No** Event type **New**

Information re Regulator

Type of notification **Definitive**

Opting out / Opting up

Percentage

Note to SIX Exchange Regulation

Contact person **IBCISUER11 IBCISUER11**

Telephone (direct)

Attachments

Type	Description
Articles of incorporation	

[> Reset](#)

9 (User 1)

Your action has been completed successfully.

If the first user has entered the message and clicked on **“Execute”**, all other users at an issuer will receive an e-mail informing them that there is a message to be checked. A note to this effect is also shown in the task list of each user.

My tasks **1 (User 2)**

My tasks Drafts

Description Creation date

Reference Event

Issuer ID Sort on

[Reset](#)

1 record(s) found (0.008sec) **2 (User 2)**

	Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
<input type="button" value="Print"/> <input type="button" value="Close"/>		New-Definitive-For approval 19683	Opting out / Opting up	17.11.2014 - 15:29 17.11.2014 - 15:29	

1 record(s) found (0.008sec)

Opting out / Opting up

Issuer ID Name of issuer

SIX Exchange Regulation only Event type

Information re Regulator

Type of notification **Definitive**

Opting out / Opting up

Percentage

Note to SIX Exchange Regulation

Contact person

Telephone (direct)

Attachments

Type	Description
<input type="button" value="Print"/> <input type="button" value="Close"/> Articles of incorporation	

[Reset](#)

3 (User 2)

Your action has been completed successfully.

5.1.2. Modifying a message under the 4-eye principle

If a user has sent a message to be checked, every other user at the issuer is authorised to check the message and to make changes to it if necessary. If the second user makes changes to the content of the message and clicks on the **“Execute”** button, the message is either sent to SER and, where applicable, to other recipients if the second user is set up for the 2-eye principle, or it must be checked again by another user at the issuer if the subsequent user is set up for the 4-eye principle. In the latter case, all users will receive another e-mail and see a corresponding entry in their task list.

The screenshot shows the 'My tasks' interface. At the top, there are navigation tabs: 'My tasks', 'Create event', and 'Recorded events'. Below the tabs, there are search filters for 'Description', 'Reference', 'Issuer ID', 'Creation date' (set to 17.11.2014), 'Event', and 'Sort on' (set to 'Update date' and 'Descending'). A 'Query' button and a 'Reset' link are also present. Below the filters, a table displays search results. The first result is highlighted with a red arrow and labeled '1 (User 2)'. The table has columns for 'Name of issuer ISIN', 'Description Reference', 'Event', 'Creation date Update date', and 'User'. The first row shows 'New-Definitive-For approval 19686' under 'Description Reference', 'Financial reports' under 'Event', and '17.11.2014 - 15:29' and '17.11.2014 - 15:29' under 'Creation date Update date'. A second red arrow points to the first row, labeled '2 (User 2)'. Below the table, it says '1 record(s) found (0.008sec)'.

The screenshot shows the 'Financial reports' form. It includes fields for 'Issuer ID', 'Name of issuer', 'SIX Exchange Regulation only' (set to 'Yes'), and 'Event type' (set to 'New'). There is a section for 'Information re Regulator' with a dropdown for 'Type of notification' set to 'Definitive'. Below this, there are fields for 'Filing annual report / half-year report' (set to 'Annual report'), 'Date of publication of the report' (set to 17.11.2014), 'Note to SIX Exchange Regulation', 'Contact person' (set to 'IBCISSUER11 IBCISSUER11'), and 'Telephone (direct)'. A large red bracket on the right side of the form is labeled '3 (User 2)'. Below the form, there is an 'Attachments' section with a table showing 'Annual report / half-year report'. An 'Upload' button is next to the attachment. At the bottom of the form, there are buttons for 'Save', 'Print', 'Execute', and 'Reset'. A red arrow points to the 'Execute' button, labeled '4 (User 2)'.

Your action has been completed successfully.

5.1.3. Recalling a message (for 2-eye principle and to SIX Exchange Regulation only “Yes” / message types received by SIX Exchange Regulation only)

If a user has sent a message that only went to SER and has not been processed further by SER, the user can recall the message. A message that has been recalled cannot be processed further or deleted. It can only be viewed and printed out. It is also possible to copy it (cloning; see section 5.1.8 below).

Recorded events

ISIN:

Search by: Updated on

Event:

Issuer ID:

Type of notification:

File number:

Date from / to: 17.11.2014 to 17.11.2014


Event status:

Updated by:

Event type:

Sort on: Updated on Descending

Query Reset

Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
  		Financial reports New Definitive		Disseminated Waiting to be processed by SER	17.11.2014 15:58:25	

 The report has been saved successfully.

5.1.4. Replacing a message that has already been processed by SER (for 2-eye principle)

If a user has sent a message to SER and SER has already processed it, it is no longer possible to recall the message. In this case, the old message must either be replaced by a new message or it must be canceled (see section 5.1.5 below). The user can replace the message by going to the search function under the **“Recorded events”** tab and then find and select the message in question. The user must then click on the relevant icon (arrow no. 3). After changing the message, it must be re-sent.

The screenshot shows a web application interface for searching recorded events. At the top, there are navigation tabs: 'My tasks', 'Create event', and 'Recorded events'. The 'Recorded events' tab is active. Below the tabs, the page title is 'Recorded events'. A red arrow labeled '1' points to this title. The search area is divided into two columns. The left column contains search criteria: 'ISIN' (text input), 'Search by' (dropdown menu with 'Updated on' selected), 'Event' (dropdown menu), 'Issuer ID' (text input), 'Type of notification' (dropdown menu), and 'File number' (text input). A red arrow labeled '2' points to the 'Search by' dropdown. The right column contains filters: 'Date from / to' (two date pickers both set to 17.11.2014), 'Event status' (dropdown menu), 'Updated by' (text input), 'Event type' (dropdown menu), and 'Sort on' (dropdown menu with 'Updated on' selected and 'Descending' as the sort order). At the bottom left of the search area, there are 'Query' and 'Reset' buttons.

Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective / Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
		Financial reports New Definitive		Disseminated Processed by SER	17.11.2014 16:20:33 Meldepflichten Meldepflichten	

3

Financial reports

Issuer ID

SIX Exchange Regulation only Yes

Name of issuer

Event type

Information re Regulator

Type of notification

Filing annual report / half-year report

Date of publication of the report

Note to SIX Exchange Regulation

Contact person

Telephone (direct)

4

5

Your action has been completed successfully.

If the message is being replaced after a deadline for submission has expired for this message type (event) pursuant to Annex 1 DRRO, the Listing Team at SER must be notified immediately via e-mail: reporting-obligations@six-group.com

5.1.5. Cancel a message that has already been processed by SER (2-eye principle)

If a user does not want to replace a message that has already been processed by SER with a new message, but instead wishes to cancel the old message, he must go to the search function under the **“Recorded events”** tab and then find and select the message in question. The user must then click on the corresponding icon (arrow no. 3) to cancel the message.

A new entry panel appears. The reasons for the cancellation of the message can be entered in the **“Cancellation remarks”** field. If no reasons are entered, a hyphen must be entered.

Then click on **“Execute”**.

The screenshot shows a web application interface for searching recorded events. At the top, there are navigation tabs: 'My tasks', 'Create event', and 'Recorded events'. The 'Recorded events' tab is active, indicated by a red arrow labeled '1'. Below the tabs, the page title is 'Recorded events'. The search area is divided into two sections: 'Search' and 'Advanced search'. The 'Advanced search' section is active. It contains several search criteria: 'ISIN' (text input), 'Search by' (dropdown menu with 'Updated on' selected), 'Date from / to' (date pickers for '17.11.2014'), 'Event status' (dropdown menu), 'Updated by' (dropdown menu), 'Event type' (dropdown menu with a blue highlight), and 'Sort on' (dropdown menu with 'Updated on' selected and 'Descending' order). There are also 'Query' and 'Reset' buttons at the bottom left. A red arrow labeled '2' points to the 'Search by' dropdown menu.

Recorded events

Search Search Advanced search

ISIN

Search by Date from / to

Event

Event status

Issuer ID

Updated by

Type of notification




Event type

File number

Sort on

[Reset](#)

1 record(s) found (0.039sec) **3**

Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
  		Date of next GM New Definitive	12.02.2015	Disseminated Processed by SER	18.11.2014 12:09:32 Meldepflichten Meldepflichten	

Date of next GM

Issuer ID Name of issuer

SIX Exchange Regulation only Event type

Type of notification

Date of next GM

Meeting of the participants (date)

Meeting type

Note to SIX Exchange Regulation

Comments from SIX Exchange Regulation

Contact person

Cancellation remarks

Additional cancellation remarks

4

[Reset](#) **5**

 Your action has been completed successfully.

5.1.6. Cancel a message (4-eye principle)

The first user needs to click on the **“Recorded events”** tab and start a query and select the relevant message. Then he has to click on the “Cancel message type” Icon (arrow no. 3) to cancel this message.

Recorded events

1 (User 1)

2 (User 1)

Recorded events

3 (User 1)

2 records found (0.037sec)

	Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
			Cash dividend New Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Pending by issuer agent Processed by SER	18.11.2014 13:35:41 Meldepflichten Meldepflichten	

A new entry panel appears. The reasons for the cancellation of the message can be entered in the **“Cancellation remarks”** field. If no reasons shall be indicated, a hyphen must be entered.

Cash dividend

Issuer ID		Name of issuer	
ISIN	CH.	Swiss security number	
Security description		Security category	Registered shares
Security symbol		Issuer agent ID	
SIX Exchange Regulation only	No	Event type	New

Information re Regulator

Type of notification	Preliminary
Date of GM	12.02.2015
Meeting of the participants (date)	
Ex date	16.02.2015
Payment date	18.02.2015
Coupon number	
Currency	CHF
Gross dividend per equity	5.50
Thereof special dividend (amount)	0.00
Note to SIX Exchange Regulation	
Comments from SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	
Cancellation remarks	

4 (User 1)

Save Print Execute > Reset

5 (User 1)



Your action has been completed successfully.

If the first user has captured the report and clicked the **“Execute”** button, all other users will receive a corresponding e-mail that a report has been canceled. Furthermore, a corresponding note will appear in the “My tasks” tab of every user.

Home English

My tasks Create event Recorded events

My tasks

My tasks Drafts

Description: Creation date: 18.11.2014

Reference: Event:

Issuer ID: Sort on: Update date Descending

Query Reset

2 records found (0.010sec)

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
	Cancelled-Preliminary-For approval 19716	Cash dividend	18.11.2014 - 14:49 18.11.2014 - 14:49	

1 (User 2)

2 (User 2)

Information re Regulator

Type of notification: Preliminary

Date of GM: 12.02.2015

Meeting of the participants (date): 16.02.2015

Ex date: 18.02.2015

Payment date: 18.02.2015

Coupon number:

Currency: CHF

Gross dividend per equity: 5.50

Thereof special dividend (amount): 0.00

Note to SIX Exchange Regulation:

Comments from SIX Exchange Regulation:

Remarks to market:

Contact person: IBCISSUER11 IBCISSUER11

Telephone (direct): +41

Cancellation remarks:

Additional cancellation remarks:

Attachments

Type	Description
No records found	

Execute Reset

3 (User 2)

✔ Your action has been completed successfully.

The report can be found under the "Recorded events" tab with the status "Cancellation". A message that has been canceled cannot be processed further. It can only be viewed and printed out. It is also possible to copy the message (cloning; see section 5.1.8 below).

Home English

My tasks Create event Recorded events

Recorded events

ISIN

Search by Date from / to

Event

Issuer ID

Type of notification

File number

Event status

Updated by

Event type

Sort on

4 records found (0.045sec)

	Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event type Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
			Cash dividend Cancellation Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Pending by Issuer agent Waiting to be processed by SER	18.11.2014 15:20:40 IBCISSUER12 IBCISSUER12	

4

5.1.7. Delete a message (4-eye principle)

5.1.7.1 Delete a message that has already been executed – Clear the “My tasks” list

If the first user has captured a message and clicked on the **“Execute”** button, all other users will receive a corresponding e-mail that a report is waiting for approval. If in the meantime a user approves the report, all other users have the possibility to delete the task in their “My tasks” list (arrow no. 1).

Home English

My tasks Create event Recorded events

My tasks

Description

Reference

Issuer ID

Creation date

Event

Sort on

2 records found (0.010sec)

	Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
		Cancelled-Preliminary-For approval 13716	Cash dividend	18.11.2014 - 14:49 18.11.2014 - 14:49	

1

5.1.7.2 Delete a message in status "Pending dissemination to market"

If a user wants to delete a task in his tasks list with the status "Pending dissemination to market" he can click on the relevant icon (arrow no. 1).

The screenshot shows the 'My tasks' interface. At the top, there are navigation tabs: 'My tasks', 'Create event', and 'Recorded events'. Below this, there are search filters for Description, Reference, Issuer ID, Creation date (19.11.2014), Event, and Sort on (Update date, Descending). A 'Query' button and a 'Reset' link are visible. Below the filters, it says '2 records found (0.010sec)'. A table lists the tasks:

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
	Pending dissemination to market 19724	Cash dividend	19.11.2014 - 08:55 19.11.2014 - 08:55	

A red arrow labeled '1' points to a trash icon in the action menu of the first task.

The screenshot shows the 'My tasks' interface after the deletion. The table now shows:

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
	Deleted - Pending for approval 19724	Cash dividend	19.11.2014 - 08:55 19.11.2014 - 08:55	

A red arrow labeled '2' points to a new icon in the action menu of the first task.

As a result a second icon appears (arrow no. 2). By clicking on this icon you can undo the deletion. All other users will also see, that a message has been deleted and is pending for approval. They have now the possibility to either delete the message definitive (arrow no. 3) or to undo the deletion and execute (arrow no. 4).

The screenshot shows the 'My tasks' interface with the same task. Two red arrows labeled '3' and '4' point to icons in the action menu of the first task.

5.1.8. Copying messages (cloning)

If a user has to enter a message that is the same as or similar to one entered previously, he can copy the old message by clicking on the **“Recorded events”** tab and searching for the relevant message. After finding the message, the user must click on the relevant icon (arrow no. 3). He can then make changes to the new message if necessary and execute it.

Recorded events

ISIN

Search by **Updated on**

Event

Issuer ID

Type of notification

File number

[Reset](#)

Search Advanced search

Date from / to

Event status

Updated by

Event type

Sort on

Recorded events

ISIN

Search by **Updated on**

Event

Issuer ID

Type of notification

File number

[Reset](#)

Search Advanced search

Date from / to

Event status

Updated by

Event type

Sort on

1 record(s) found (0.052sec)

	Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
			Cash dividend New Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Processed by SER	19.11.2014 08:55:57 Meldepflichten Meldepflichten	

5.2

Treatment of messages by SER

5.2.1. Processing by SER

Under the **“Recorded events”** tab, you can see if the message has been processed by SER.

Recorded events

Search Advanced search

ISIN

Search by

Event

Issuer ID

Type of notification

File number

Date from / to

Event status

Updated by

Event type

Sort on

[Reset](#)

1 record(s) found (0.052sec)

Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective-/ Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
		Cash dividend New Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Processed by SER	19.11.2014 08:55:57 Meldepflichten Meldepflichten	

5.2.2. Rejection by SER

Under the recorded messages, you can see if SER has rejected the message. The reasons for the rejection can be found in the PDF of the e-mail the user receives when the message is rejected. Please note that for message types (events) that are not only sent to SER and where the user has not clicked the **“Yes”** button under the **“SIX Exchange Regulation only”** label, the message has already been sent to the third parties before SER rejects it. This means that the content of the message have been made public before the message was rejected by SER (see section 4.1 f. above and section 5.2 above).

Recorded events

ISIN

Search by

Event

Issuer ID

Type of notification

File number

Search Advanced search

Date from / to

Event status

Updated by

Event type

Sort on

[Reset](#)

1 record(s) found (0.052sec)

	Name of issuer	ISIN Swiss security number (SSN) Security category Security description	Event Event type Type of notification	Effective- / Ex-date Record date Payment date Meeting date	Event status Issuer agent event status SER status	Updated on Updated by	File number
			Cash dividend New Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Rejected by SER	19.11.2014 08:55:57 Meldepflichten Meldepflichten	

5.3

Exception "SIX Exchange Regulation only"

If the user wishes to initially send the message only to SER for reasons of confidentiality, this can be done by clicking on **"Yes"** under the **"SIX Exchange Regulation only"** label. In this case, the message will only be sent to SER. The content of the message will be treated as confidential by SER. This means, for example, that initially an official notice will not be published pursuant to [Art. 6 DRRO](#). In due course, the message can be sent again so that third parties also receive the message. (see section 4.1f. above). Under the **"My tasks"** tab there is the correspondent advice (see also section 4.1 above).

Please specify the time from which the message no longer needs to be treated as confidential in the field **"Note to SIX Exchange Regulation"**. SER will correspondingly process the message at this time.

Cash dividend

Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
ISIN	<input type="text" value="CH."/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text" value="Registered shares"/>
Security symbol	<input type="text"/>	Issuer agent ID	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information re Regulator

Type of notification	<input type="text"/>
Date of GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Ex date	<input type="text"/>
Payment date	<input type="text"/>
Coupon number	<input type="text"/>
Currency	<input type="text" value="CHF"/>
Gross dividend per equity	<input type="text"/>
Thereof special dividend (amount)	<input type="text" value="0.00"/>
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>

Contact person:

Telephone (direct):

6

Individual message types

6.1 Message types that are only sent to SER

Certain message types (events) are only sent to SER, for which the contents of the message are published by SER after processing either in part or in full (e.g. by means of an official notice pursuant to Art. 6 DRRO or on the relevant websites of SIX Swiss Exchange).

6.1.1. Address change

The message type (event) **“Address change”** is used to notify SER of any changes to the address of the registered head office or the location of the company’s management (point 1.02 Annex 1 DRRO), as well as the invoice address (point 1.03 Annex 1 DRRO).

Address change

Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No	Event type	New

Information re Regulator

Type of notification	Definitive
Type of address	<input type="text"/>
Street, No.	<input type="text"/>
P.O. Box	<input type="text"/>
City	<input type="text"/>
Postcode	<input type="text"/>
Country	Switzerland
Telephone	<input type="text"/>
Fax	<input type="text"/>
E-Mail	<input type="text"/>
Correspondence language	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	<input type="text"/>

6.1.2. Change of auditor

If the external auditor changes, please use the message type (event) **“Change of auditor”** to provide notification of this (point 1.04 (1) Annex 1 DRRO).

If the previous auditor stepped down and a new auditor cannot be appointed within an appropriate period of time, this must be reported to SER by e-mail (reporting-obligations@six-group.com). The message can be sent via CONNEXOR® Reporting. In this case, the word **“None”** should be entered in the fields **“Name of the new auditor”** and **“Registration number of Federal Audit”**. Any country can be selected in the **“Country”** drop-down field.

Change of auditor

Issuer ID	Name of issuer
SIX Exchange Regulation only	Event type
Yes	New

Information for SER

Type of notification	Definitive
Name of the new auditor	<input type="text"/>
Country	<input type="text" value="Switzerland"/>
Registration number of Federal Audit	<input type="text"/>
Detailed explanation for change	<input type="text"/>
Has the previous audit body withdrawn from the engagement?	<input type="radio"/> Yes <input type="radio"/> No
If yes: explanation of the underlying facts and circumstances	<input type="text"/>
Were there any unresolved differences of opinion with the previous auditing body?	<input type="radio"/> Yes <input type="radio"/> No
If yes: detailed explanation of the circumstances related to the unresolved differences of opinion	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

6.1.3. Recognition of the foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland

This message type (event) only concerns users with no domicile in Switzerland.

If a foreign auditor ceases to be under the supervision of a foreign audit supervisory authority accredited by the Federal Council, then that fact or change must be reported by the company via CONNEXOR® Reporting (point 1.04 (2) Annex 1 DRRO).

Recognition of the foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland			
Issuer ID		Name of issuer	
Note to SIX Exchange Regulation	Yes	Event type	New
Information for SER			
Name of the foreign auditor	<input type="text"/>		
Name of the foreign supervisory authority	<input type="text"/>		
Recognition of the foreign supervisory authority according to art. 8 para. 2 Federal Act on the Licensing and Oversight of Auditors of 16 December 2005	<input type="text"/>		
Effective date	<input type="text"/>		
Note to SIX Exchange Regulation	<input type="text"/>		
Contact person	<input type="text" value="IBC/ISSUER13 IBC/ISSUER13"/>		
Telephone (direct)	<input type="text" value="+41"/>		
Attachments			
	Type	Description	
No records found			
<input type="button" value="Upload"/>			

6.1.4. Change of balance sheet date

This message type (event) is used to provide notification of a new balance sheet date (point 1.05 Annex 1 DRRO).

Change of balance sheet date

Issuer ID	Name of issuer
SIX Exchange Regulation only Yes	Event type New

Information for SER

Type of notification	Definitive
New balance sheet date (day)	<input type="text"/>
New balance sheet date (month)	<input type="text"/>
Note to SIX Exchange Regulation	<div style="border: 1px solid black; height: 50px;"></div>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

Attachments

Type	Description
No records found	

6.1.5. Changes of contact persons

The message type (event) **“Changes of contact persons”** can be used to make changes to the details for the contact person pursuant to point 1.06 Annex 1 DRRO (Chairman of the Board of Directors, Chief Executive Officer, Chief Financial Officer, Head of Investor Relations, Contact for ad hoc publicity, Contact for regular reporting obligations, Contact person of the recognised representation (GDRs) and Contact person of depository (GDRs)).

If SER should be informed that a person which was previously notified is no longer in this function and his/her successor is not yet known, enter the word **“None”** in the field **“Successor – last name”** and **“Successor – first name”** and select any gender in the **“Successor – gender”** drop-down menu.

Changes of contact persons


Issuer ID	Name of issuer
SIX Exchange Regulation only Yes	Event type New

Information for SER

Type of notification	Definitive
Effective date	<input type="text"/>
Predecessor - last name	<input type="text"/>
Predecessor - first name	<input type="text"/>
Successor - last name	<input type="text"/>
Successor - first name	<input type="text"/>
Successor - gender	<input type="text"/>
Business address	
Street, No.	<input type="text"/>
P.O. Box	<input type="text"/>
Postcode	<input type="text"/>
City	<input type="text"/>
Country	<input type="text" value="Switzerland"/>
Telephone (direct)	<input type="text"/>
Mobile No.	<input type="text"/>
E-mail (direct)	<input type="text"/>
Team e-mail	<input type="text"/>
Correspondence language	<input type="text"/>
Select function	<input type="checkbox"/> Chairman <input type="checkbox"/> Chief Executive Officer <input type="checkbox"/> Chief Financial Officer <input type="checkbox"/> Head Investor Relations <input type="checkbox"/> Contact person for ad hoc publicity <input type="checkbox"/> Contact person for regular reporting obligations <input type="checkbox"/> Contact person of the recognised representation (GDRs) <input type="checkbox"/> Contact person of depository (GDRs)
Reason for the change in function	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

6.1.6. Changes of weblinks

The message type (event) **“Changes of weblinks”** is used to provide notification of the following current weblinks: Link to the general website of the issuer, links to the push and pull services, link to the corporate calendar, link to the financial reports (point 1.07 Annex 1 DRRO).

Changes of weblink	
Issuer ID	Name of issuer
SIX Exchange Regulation only	Yes
Event type	New
Information for SER	
Type of notification	Definitive
Effective date	<input type="text"/> 
Link to distribution list (push-service)	<input type="text"/>
Link to ad hoc notices (pull-service)	<input type="text"/>
Link to issuer website	<input type="text"/>
Link to business calendar	<input type="text"/>
Link to financial reports	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

6.1.7. Public share buyback program

Issuers with publicly disclosed buyback program according to Art. 123 Financial Market Infrastructure Ordinance (FinMIO) have to report, if such program is carried out by an independent securities dealer or a trading unit (if the issuer is a securities dealer), which is protected by Chinese walls, within the meaning of Art. 124 para. 2 lit. a and b FinMIO (point 1.08 Annex 1 DRRO).

An extract of the respective contract has to be attached as PDF file. The extract has to include with whom it is concluded (**incl. signatures**) and that the securities dealer resp. the trading unit acts independently. Confidential details can be blanked out with blackings.

Public share buyback program

Issuer ID	Name of issuer
SIX Exchange Regulation only <input checked="" type="checkbox"/> Yes	Event type <input type="checkbox"/> New

Information for SER

Type of notification Definitive

Only for public share buyback programs in accordance with Art. 124 para. 2 FinMIO

Carry out by

End of the share buyback program

Note to SIX Exchange Regulation

Contact person

Telephone (direct)

Attachments

Type	Description
No records found	

[Reset](#)

6.1.8. Change of share capital currency

If the currency in which the share capital is expressed changes, this message type (event) must be selected (point 1.09 Annex 1 DRRO).

Change of share capital currency

Issuer ID		Name of issuer	
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text"/>
Security symbol	<input type="text"/>	Event type	New
SIX Exchange Regulation only	Yes		

Information for SER

Type of notification: Definitive

Ex date (Date of exchange adjustment):

Old currency:

New currency:

Note to SIX Exchange Regulation:

Remarks to market:

Contact person:

Telephone (direct):


Attachments

	Type	Description
No records found		

6.1.9. Financial reports

To submit annual and half-year reports pursuant to point 2.01 Annex 1 DRRO in the form of a PDF, please use the **“Financial reports”** message type (event).

As financial reports are not published by the stock exchange and are therefore treated as confidential by SER from the start, there is no option to make a selection in the **“SIX Exchange Regulation only”** label (see also section 4.1 above).

Financial reports			
Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
SIX Exchange Regulation only	Yes	Event type	New
Information re Regulator			
Type of notification	Definitive		
Filing annual report / half-year report	<input type="text"/>		
Date of publication of the report	<input type="text"/>		
Note to SIX Exchange Regulation	<input type="text"/>		
Contact person	IBCISSUER11 IBCISSUER11		
Telephone (direct)	+41		

6.1.10. Sustainability report (optional)

Issuers can report to SIX Exchange Regulation on a voluntary basis to make use of a so-called opting in regarding a sustainability report (point 2.03 Annex 1 DRRO). If the issuer reports an opting in, he is obliged to adopt the sustainability report in accordance with an internationally recognized standard. The list of the standards accepted by SIX Exchange Regulation can be found on its website. Issuers who chose to make an opting in have to comply with certain regulations (Art. 9 Directive on Information relating to Corporate Governance).

The fact, that an issuer decided to make an opting in, will be published by SIX Swiss Exchange on their website. As soon as the weblink to the sustainability report or another information published on SIX Swiss Exchange's website changes, the issuer has to inform SIX Exchange Regulation accordingly.

Sustainability Report

Issuer ID	<input type="text"/>	Name of issuer	Issuer Test003
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No	Event type	New

Information re Regulator

Type of notification	Definitive
Opting in / Opting out	<input type="text" value="Opting in"/>
International recognized standard	<input type="text"/>
Frequency of reporting	<input type="text"/>
Frequency Details	<input type="text"/>
Web link to sustainability report	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	IBCissuer1 IBCissuer1
Telephone (direct)	+41

6.1.11. Opting out / Opting up

The message type (event) "Opting out/Opting up" is used to provide notification of the introduction/removal of Opting out/Opting up pursuant to point 3.05 Annex 1 DRRO.

As the introduction/removal of Opting out/Opting up requires the approval of the GM and can only be notified to SER after the company's articles of incorporation have been changed, the content of the message is already known to the public at this point. As such, it would make no sense to send the message to SER on a confidential basis. The message is processed by SER therefore immediately upon receipt.

Opting out / Opting up

Issuer ID	Name of issuer
SIX Exchange Regulation only <input type="checkbox"/> No	Event type <input type="checkbox"/> New

Information for SER

Type of notification	Definitive
Opting out / Opting up	<input type="text" value=""/>
Percentage	<input type="text" value=""/>
Note to SIX Exchange Regulation	<input type="text" value=""/>
Contact person	<input type="text" value="IBC/ISSUER13 IBC/ISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

Attachments

	Type	Description
No records found		

6.1.12. Capital band

The message type (event) capital band is used to report the introduction, change or withdrawal of a capital band (such as the expiry of the term, capital increase or decrease, change in the currency in which the capital is expressed or a decision to repeal) in accordance with point 5.01 Annex 1 DRRO).

The capital band requires a corresponding entry in the commercial register. It is known to the public with the entry. As a corresponding commercial register extract has to be sent with the notification to SER in PDF form, a confidential pre-notification to SER is effectively excluded.

Capital band			
Issuer ID		Name of issuer	
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text"/>
Security symbol	<input type="text"/>	Event type	New
SIX Exchange Regulation only	No		
Information for SER			
Type of notification	Definitive		
Changes in capital	<input type="text"/>		
Start of validity period for capital band	<input type="text"/>		
End of validity period for capital band	<input type="text"/>		
Ordinary capital increase within the capital band	<input type="text"/>		
Number of shares (equities)	<input type="text"/>		
Relevant articles of the articles of incorporation	<input type="text"/>		
Conditional capital increase within the capital band	<input type="text"/>		
Number of shares (equities)	<input type="text"/>		
Relevant articles of the articles of incorporation	<input type="text"/>		
Capital decrease within the capital band	<input type="text"/>		
Number of shares (equities)	<input type="text"/>		
Relevant articles of the articles of incorporation	<input type="text"/>		
Note to SIX Exchange Regulation	<input type="text"/>		
Contact person	IBCISUER13 IBCISUER13		
Telephone (direct)	+41		

6.1.13. Conditional capital and entry commercial register capital (securities from conditional capital), reserve and convertible capital according to Art. 12 and 13 Banking Act (BA)

The message type (event) **“conditional capital and entry commercial register capital (securities from conditional capital), convertible capital”** is used to report the creation and cancellation of conditional, reserve and convertible capital according to point 5.01 Annex 1 DRRO.

A creation resp. cancellation of reserve capital according to Art. 12 BA, must be reported in CONNEXOR® Reporting as a creation resp. cancellation of convertible capital. An additional remark with the information that the reported capital is reverse capital and not convertible capital should added in the field **“Note to SIX Exchange Regulation”**.

The same message type (event) is also used to report the annual entry of newly created securities from conditional capital in the commercial register (point 5.03 Annex 1 DRRO).

The changes to the capital structures require a corresponding entry in the commercial register. They are known to the public with the entry. As a corresponding commercial register extract has to be sent with the notification to SER in PDF form, a confidential pre-notification to SER is effectively excluded.

Conditional capital and entry commercial register capital (securities from conditional capital), convertible capital		
Issuer ID		Name of issuer
ISIN	<input type="text"/>	Swiss security number
Security description	<input type="text"/>	Security category
Security symbol	<input type="text"/>	Event type
SIX Exchange Regulation only	No	New
Information for SER		
Type of notification	Definitive	
Changes in capital	<input type="text"/>	
Number of shares (total number of equities)	<input type="text"/>	
Number of new created shares	<input type="text"/>	
Number of shares to be cancelled	<input type="text"/>	
Relevant articles of the articles of incorporation	<input type="text"/>	
Note to SIX Exchange Regulation	<input type="text"/>	
Remarks to market	<input type="text"/>	
Contact person	IBCISSUER13 IBCISSUER13	
Telephone (direct)	+41	
Attachments		
	Type	Description
No records found		
<input type="button" value="Upload"/>		

6.1.14. Exercise of conditional capital

The monthly report of conditional capital can be sent to SER using the message type (event) **“Exercise of conditional capital”** (point 5.02 Annex 1 DRRO).

An application for exemption from the reporting obligation can be sent to SER by e-mail (reporting-obligations@six-group.com) if an issuer knows in advance that no conditional capital will be exercised over the next few months. The exemption is limited to a maximum of one year. However, a new application can be submitted after the exemption period has expired. If conditional capital is nevertheless exercised during the exemption period, SER must be informed of this by means of a monthly exercise report.

Exercise of conditional capital			
Issuer ID		Name of issuer	
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text"/>
Security symbol	<input type="text"/>	Event type	New
SIX Exchange Regulation only	No		
Information for SER			
Type of notification	Definitive		
Conditional capital pursuant to articles of incorporation (to message per article)	<input type="text"/>		
Status as of the end of (month)	<input type="text"/>		
Number of spent securities (total share capital)	<input type="text"/>		
Number of spent securities previous month (total share capital)	<input type="text"/>		
Number of exercised securities from conditional capital previous month	<input type="text"/>		
Number of remaining securities conditional capital (formally listed)	<input type="text"/>		
Number of remaining securities conditional capital previous month (formally listed)	<input type="text"/>		
Note to SIX Exchange Regulation	<input type="text"/>		
Contact person	IBCISSUER13 IBCISSUER13		
Telephone (direct)	+41		

6.1.15. Capital decrease

6.1.15.1 Capital decrease by declarative reduction

The message type (event) **“Capital decrease by declarative reduction”** is used in the event of a capital decrease to eliminate a capital deficiency pursuant to Art. 653q of the Swiss Code of Obligations (point 5.04 Annex 1 DRRO).

If the nominal value of the shares or participation certificates is reduced and the released funds are not paid out to the shareholders or participants but transferred to the reserves, this message type (event) must be used. In the field **“Note to SIX Exchange Regulation”** should be noted that this is a transfer to the reserves and not a declarative capital reduction.

Capital decrease by declarative reduction	
Issuer ID	Name of issuer
ISIN <input type="text"/>	Swiss security number <input type="text"/>
Security description <input type="text"/>	Security category <input type="text"/>
Security symbol <input type="text"/>	Event type New
SIX Exchange Regulation only Yes	
Information for SER	
Type of notification	Definitive
Ex date (Date of exchange adjustment) <input type="text"/>	
Currency	CHF
Previous nominal value <input type="text"/>	
New nominal value <input type="text"/>	
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER13 IBCISSUER13
Telephone (direct) <input type="text"/>	

6.1.15.2 Capital decrease by repayment of nominal value

For a capital decrease by repayment of nominal value, the message type (event) **“capital decrease by repayment of nominal value”** must be selected (point 5.04 Annex 1 DRRO).

Capital decrease by repayment of nominal value			
Issuer ID		Name of issuer	
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text"/>
Security symbol	<input type="text"/>	Event type	New
SIX Exchange Regulation only	Yes		
Information for SER			
Type of notification	Definitive		
Ex date (Date of exchange adjustment)	<input type="text"/>		
Payment date	<input type="text"/>		
Replacement for ordinary dividends	<input type="radio"/> Yes <input type="radio"/> No		
Coupon number	<input type="text"/>		
Currency	CHF		
Gross amount payable per equity	<input type="text"/>		
Previous nominal value	<input type="text"/>		
New nominal value	<input type="text"/>		
Note to SIX Exchange Regulation	<input type="text"/>		
Remarks to market	<input type="text"/>		
Contact person	IBCISSUER13 IBCISSUER13		
Telephone (direct)	<input type="text"/>		

6.1.15.3 Capital decrease by destruction of shares

If equity securities are destroyed as part of a capital decrease, the message type (event) **“Capital decrease by destruction of shares”** must be used (point 5.04 Annex 1 DRRO).

Capital decrease by destruction of shares	
Issuer ID	
ISIN	<input type="text"/>
Security description	<input type="text"/>
Security symbol	<input type="text"/>
SIX Exchange Regulation only	Yes
Name of issuer	
Swiss security number	<input type="text"/>
Security category	<input type="text"/>
Event type	New
Information for SER	
Type of notification	Definitive
Ex date (Date of exchange adjustment)	<input type="text"/>
Number of invalidated shares	<input type="text"/>
New number of outstanding securities	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER13 IBCISSUER13
Telephone (direct)	<input type="text"/>
Attachments	
No records found	
Type	Description

6.1.16. Foreign companies: Capital and voting rights

This message type (event) is used to report the current total of issued equity securities resp. GDRs and the associated voting rights for issuers without seat in Switzerland (point 5.05 Annex 1 DRRO).

Foreign companies: Capital and voting rights

Issuer ID		Name of issuer	
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	<input type="text"/>
Security symbol	<input type="text"/>	Event type	New
SIX Exchange Regulation only	No		

Information for SER

Type of notification	Definitive
Total of equity securities issued	<input type="text"/>
Number of voting rights	<input type="text"/>
Reference date	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	<input type="text"/>
Telephone (direct)	<input type="text"/>

Attachments

	Type	Description
No records found		

[Reset](#)

6.1.17. Changes to depository agreement

This message type (event) is used to report the new or amended depository agreement for GDR issuers (point 5.07 Annex 1 DRRO).

Changes to depository agreement

Issuer ID	Name of issuer
SIX Exchange Regulation only Yes	Event type New

Information for SER

Type of notification	Definitive
Reference date	<input type="text" value=""/>
Note to SIX Exchange Regulation	<div style="border: 1px solid black; height: 40px;"></div>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value=""/>

Attachments

Type	Description
No records found	

[Reset](#)

6.2

Common message types

There are certain message types (events) that are not just sent to SER but to the issuer's main paying agent (Issuer Agent) and/or to the SIX SIS Ltd as well. If you wish to send certain messages in advance only to SER for reasons of confidentiality, this can be done by clicking on **"Yes"** under the **"SIX Exchange Regulation only"** label (see section 5.3 above).

The screenshot shows a web application interface for "GM resolutions". At the top, there are three tabs: "My tasks", "Create event", and "Recorded events". Below the tabs, the title "GM resolutions" is displayed. The form contains several input fields and labels:

- Issuer ID**: A text input field.
- Name of issuer**: A text input field.
- SIX Exchange Regulation only**: A label with two radio buttons, "Yes" and "No". A red arrow points to the "Yes" radio button, and a red bracket is drawn under both radio buttons.
- Event type**: A dropdown menu with "New" selected.
- Information re Regulator**: A red-bordered box containing this text.

6.2.1. Change of name

If the issuer's name is changed, SER must be informed using the message type (event) **"Change of name"** (point 1.01 Annex 1 DRRO).

Change of name	
Issuer ID	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	<input type="text"/>
Issuer agent ID	<input type="text"/>
Event type	New

Information re Regulator

Type of notification	Definitive
Effective date	<input type="text"/> <input type="text"/>
New name	<input type="text"/>
New web address	<input type="text"/>

ISIN change details

<input checked="" type="checkbox"/> ISIN change	<input type="radio"/> Yes <input checked="" type="radio"/> No
Old ISIN	<input type="text"/>
New ISIN	<input type="text"/>
Old security number	<input type="text"/>
New security number	<input type="text"/>
Old security symbol	<input type="text"/>
New security symbol	<input type="text"/>

Note to SIX Exchange Regulation

Remarks to market

Contact person: IBCISSUER11 IBCISSUER11

Telephone (direct): +41

6.2.2. Messages relating to the GM

6.2.2.1 Date of the next GM

The message type (event) **“Date of next GM”** is used to provide notification to SER of the date of the next ordinary or extraordinary GM or meeting of participants, as soon as the date is published (point 3.01 Annex 1 DRRO).

If the company wishes to send the date of the next GM on a confidential basis prior the publication to SER, a comment including the publication date can be entered in the **“Note to SIX Exchange Regulation”** field (see also section 4.1 above).

Date of next GM

Issuer ID	Name of issuer
SIX Exchange Regulation only <input type="radio"/> Yes <input checked="" type="radio"/> No	Event type New

Information for SER

Type of notification	Definitive
Date of next GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Meeting type	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

Attachments

Type	Description
No records found	

6.2.2.2 Date of closure of share resp. GDR register

If the company has listed registered shares or GDRs, it must notify SER from which date it is no longer possible to make entries in the share register in the run-up to the GM. Please use the message type (event) **“Date of closure of share resp. GDR register”** for this purpose (point 3.02 Annex 1 DRRO).

Date of closure of share resp. GDR register

Issuer ID		Name of issuer	
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information for SER

Type of notification	Definitive
Date of GM	<input type="text" value=""/>
Share register / GDR register closed by (date)	<input type="text" value=""/>
Share register / GDR register closed by (time)	<input type="text" value="23:59"/>
Note to SIX Exchange Regulation	<div style="border: 1px solid #ccc; height: 40px;"></div>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

Attachments

	Type	Description
No records found		

6.2.2.3 Invitation to next GM

Issuers must provide SER with invitations to upcoming GMs together with a complete agenda in PDF format (point 3.03 Annex 1 DRRO). Please use therefore the message type (event) **“Invitation to next GM”**.

The agenda is also sent to SIX SIS Ltd when the message is created. If you do not wish this to happen, click the **“Yes”** button on the **“SIX Exchange Regulation only”** label (see also section 4.1 above).

For more details on entering additional information on a voluntary basis under the **“Additional information”** tab, see section 4.2 above.

Invitation to next GM

Issuer ID	-----	Name of issuer	-----
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information for SER

Type of notification: **Definitive**

Date of GM:

Meeting of the participants (date):

Meeting time:

Meeting place:

Meeting type:

Note to SIX Exchange Regulation:

Contact person:

Telephone (direct):

Attachments

Type	Description
No records found	

Please note that the list of agenda items (invitation to GM) you are sending with this announcement will also be sent to SIX SIS AG. If you want to avoid this, then please click on the label "SIX Exchange Regulation only" the button "Yes".

[Upload](#)

6.2.2.4 GM resolutions

The issuer must notify SER of the results of the GM in the form of a list of resolutions in PDF format (point 3.04 Annex 1 DRRO). Please use therefore the message type (event) **“GM resolutions”**.

The resolution is also sent to SIX SIS Ltd when the message is created. If you do not wish this to happen, click the **“Yes”** button on the **“SIX Exchange Regulation only”** label (see also section 4.1 above).

If the company has issued a media release regarding the results of the GM, this release can also be submitted as a PDF document, provided the press release clearly states whether the GM approved all the agenda items and/or for which items different resolutions were passed.

For more details on entering additional information on a voluntary basis under the **“Additional information”** tab, see section 4.2 above.

GM resolutions

Issuer ID	Name of issuer
SIX Exchange Regulation only <input type="radio"/> Yes <input checked="" type="radio"/> No	Event type New

Information for SER

Type of notification	Definitive
Date of GM	<input type="text" value=""/>
Note to SIX Exchange Regulation	<div style="border: 1px solid #ccc; height: 50px;"></div>
Contact person	<input type="text" value="IBCISSUER13 IBCISSUER13"/>
Telephone (direct)	<input type="text" value="+41"/>

Attachments

Type	Description
No records found	

Please note that the GM resolutions you are sending with this announcement will also be sent to SIX SIS AG. If you want to avoid this, then please click on the label "SIX Exchange Regulation only" the button "Yes".

[Reset](#)

6.2.3. Notification of dividends

6.2.3.1 Cash dividends

If a dividend is distributed in the form of cash on which withholding tax may be raised, the message type (event) **“Cash dividend”** must be used (point 4.01 Annex 1 DRRO).

The dividend must be reported normally twice. For companies domiciled in Switzerland, this must be done 20 days before the GM at the latest (**preliminary/indicative notification**). For issuers not domiciled in Switzerland, the deadline of 20 days prior to the GM applies in the same way provided the applicable foreign law does not specify another deadline for the GM invitation and announcing the GM agenda items. Otherwise, the deadline under the relevant foreign law applies. After resolutions are passed by the GM, the dividends must be definitively reported no later than **10.00 a.m. on the last trading day prior to the date of the ex-dividend trading (definitive notification)**. If the foreign law provides that resolutions regarding the distribution of dividends be made by a corporate body other than the GM, the issuer is not required to provide an indicative notification of the dividends. However, in this case it must provide a definitive notification to SER immediately following the resolution of the responsible body.

Under the label **“Type of notification”**, chose between **“definitive”** or **“preliminary”** depending on whether the notification is to be sent before or after the GM or after the passing of the resolution by the responsible body. In the case of a definitive notification, you can copy the indicative notification and amend it as necessary (see section 5.1.8 above).

For technical reasons, the ex-date may be entered as the second trading day after the GM at the earliest.

Cash dividend

Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	Registered shares
Security symbol	<input type="text"/>	Issuer agent ID	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information re Regulator

Type of notification	<input type="text"/>
Date of GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Ex date	<input type="text"/>
Payment date	<input type="text"/>
Coupon number	<input type="text"/>
Currency	CHF
Gross dividend per equity	<input type="text"/>
Thereof special dividend (amount)	0.00
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41

For details on entering additional information on a voluntary basis under the **“Additional information”** tab, see section 4.2 above.

6.2.3.2 Share premium dividend

If a dividend is to be distributed from a company's reserves, meaning no withholding tax is applied, the message type (event) **"Share premium dividend"** must be used (point 4.01 Annex 1 DRRO).

For details on entering additional information on a voluntary basis under the **"Additional information"** tab, see section 4.2 above.

For more information, see section 6.2.3.1

Share premium dividend			
Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	Registered shares
Security symbol	<input type="text"/>	Issuer agent ID	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information re Regulator

Type of notification	<input type="text"/>
Date of GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Ex date	<input type="text"/>
Payment date	<input type="text"/>
Coupon number	<input type="text"/>
Currency	CHF
Gross dividend per equity	<input type="text"/>
Thereof special dividend (amount)	0.00
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41.

6.2.3.3 Stock dividend

If the dividend is to be distributed in the form of stock, the message type (event) **“Stock dividend”** is to be used (point 4.01 Annex 1 DRRO).

For details on entering additional information on a voluntary basis under the **“Additional information”** tab, see section 4.2 above.

For more information, see section 6.2.3.1

Stock dividend

Issuer ID	<input type="text"/>	Name of issuer	<input type="text"/>
ISIN	<input type="text"/>	Swiss security number	<input type="text"/>
Security description	<input type="text"/>	Security category	Registered shares
Security symbol	<input type="text"/>	Issuer agent ID	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No	Event type	New

Information re Regulator

Type of notification	<input type="text"/>
Date of GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Ex date	<input type="text"/>
Payment date	<input type="text"/>
Coupon number	<input type="text"/>
Disbursed ISIN	<input type="text"/>
Description of disbursed ISIN	<input type="text"/>
Quantity of underlying ISIN to be debited	1
Quantity of disbursed ISIN	<input type="text"/>
Paid in	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41.

6.2.3.4 Commodity dividend

If the dividend is not to be distributed in the form of cash or stock, the message type (event) **“Commodity dividend”** must be used (point 4.01 Annex 1 DRRO). In this case, a more detailed description of the form of the dividend must be provided in the **“Remarks re commodity dividend”** field.

For more information, see section 6.2.3.1 above.

Commodity dividend	
Issuer ID	<input type="text"/>
ISIN	<input type="text"/>
Security description	<input type="text"/>
Security symbol	<input type="text"/>
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	<input type="text"/>
Swiss security number	<input type="text"/>
Security category	Registered shares
Issuer agent ID	<input type="text"/>
Event type	New

Information re Regulator

Type of notification	<input type="text"/>
Date of GM	<input type="text"/>
Meeting of the participants (date)	<input type="text"/>
Ex date	<input type="text"/>
Payment date	<input type="text"/>
Coupon number	<input type="text"/>
Currency	CHF
Value of the commodity dividend	<input type="text"/>
Remarks re commodity dividend	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Remarks to market	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41.

7 Contacts

You can contact the Reporting Obligations Team (SER-Listing) as follows:

Telephone: +41 58 399 3030

E-Mail: reporting-obligations@six-group.com

8

Abbreviations/ Definitions

2-eye principle

The user is authorised to enter a message and send it directly to SER and, where applicable, other recipients.

4-eye principle

The user who enters the message cannot send it directly to SER and, where applicable, other recipients. Prior to being sent, the message must be checked and then sent by another user.

Cancellation of a message

The user can in principle cancel a message. However, if the message is canceled after a possible dead-line pursuant to Annex 1 DRRO has passed, this is only possible on a restricted basis. In this case, the issuer must contact SER by telephone immediately.

BA

Federal Act of 8 November 1934 on Banks and Saving Banks.

Events

Types of messages. If these types of messages are sent to SER, they largely correspond to the reporting obligations of Art. 9 DRRO (s. also Annex 1).

Replacement of a message

If a message has already been processed by SER, the issuer can replace the message with another one. However, if it is replaced after a possible deadline pursuant to Annex 1 DRRO has passed, this is only possible on a restricted basis. In this case, the issuer must contact SER by telephone immediately.

FinMIO

Ordinance on Financial Market Infrastructure and Market Conduct Securities and Derivatives Trading of 25 November 2015 (Financial Market Infrastructure Ordinance).

GDR

Global Depository Receipt.

GM

General meeting of shareholders.

MPA

Main paying agent.

Message types

Types of messages. If these types of messages are sent to SER, they largely correspond to the reporting obligations of Art. 9 DRRO (s. also Annex 1).

User

Natural person who enters and sends messages on behalf of an issuer. This may be an employee of the issuer or a third party mandated for this purpose by the issuer.

DRRO

Directive on Regular Reporting Obligations of 1st September 2024.

SER

SIX Exchange Regulation Ltd

SIX Swiss Exchange

SIX Swiss Exchange Ltd

Recall of a message

Under certain circumstances, the user can recall a message that has not yet been processed by SER.

SIX Exchange Regulation AG

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