

Media Release

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SER initiates investigation against u-blox Holding AG

On 13 August 2020, SIX Exchange Regulation AG (SER) initiated an investigation against u-blox Holding AG due to a potential violation of the rules on regular reporting obligations.

A preliminary inquiry revealed that there are sufficient indications of a violation of regulations. For this reason, SER initiated an investigation against u-blox Holding AG on 13 August 2020. The potential violation relates to rules on regular reporting obligations, in particular the obligation to submit reportable facts in due time via the Connexor Reporting electronic reporting platform provided for this purpose, from 28 August 2018 to 26 March 2020.

As part of the investigation, SER is examining whether there has been an actual violation of the regulations.

No details will be given about the ongoing proceedings. SER will provide information about the outcome of the proceedings.

If you have any questions, please contact Julian Chan, Deputy Head Media Relations.

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SIX Exchange Regulation AG is a legally independent company of SIX Group and one of the Regulatory Bodies of the SIX trading venues. It performs the functions assigned under Swiss federal law and enforces the rules laid down by the Regulatory Board, and monitors compliance with legal and regulatory requirements. As part of its diverse remit, SIX Exchange Regulation AG submits proposals for sanctions to the Sanctions Commission or can enact sanction notices. SIX Exchange Regulation AG consists of the divisions Listing & Enforcement, responsible for regulating issuers, and Surveillance & Enforcement, which monitors trading. www.ser-ag.com

SIX operates and develops infrastructure services in the Securities & Exchanges, Banking Services and Financial Information business units with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss financial centre. The company is owned by its users (122 banks). With a workforce of some 2,600 employees and a presence in 20 countries, it generated operating income of CHF 1.13 billion and Group net profit of CHF 120.5 million in 2019. www.six-group.com