

Media Release

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SIX Exchange Regulation AG
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SER concludes investigation into RELIEF THERAPEUTICS Holding AG

SIX Exchange Regulation AG (SER) has imposed a fine of CHF 12,000 for violations of the regular reporting obligations and Listing Rules.

SER has sanctioned RELIEF THERAPEUTICS Holding AG with a fine of CHF 12,000 within the framework of a sanction notice for violations of the regular reporting obligations and Listing Rules. The sanction notice is legally binding.

RELIEF THERAPEUTICS Holding AG, has contrary to its duty, failed to report in a timely manner newly created securities from conditional capital as well as the publication date of the annual report and also information regarding the annual general meetings 2018 and 2019. The fault in connection with the breach of duty is classified as negligent.

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