

Media Release

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SER concludes investigation into CI Com SA

SIX Exchange Regulation AG (SER) has imposed a fine of CHF 22,000 for violations of the rules concerning ad hoc publicity and regular reporting obligations.

SER has sanctioned CI Com SA with a fine of CHF 22,000 within the framework of a sanction notice for violations of the rules concerning ad hoc publicity and regular reporting obligations.

CI Com SA provided belated and incomplete information regarding the resignation and departure of Mr Patrick Engler as Chairman of the Board of Directors and CFO of CI Com SA, thus committing a moderate violation of the rules concerning ad hoc publicity. CI Com SA subsequently failed to report the change of contact persons for the roles of Chairman of the Board of Directors and CFO via Connexor Reporting in a timely manner, which was adjudged a minor violation.

Therefore, CI Com SA was adjudged to have acted negligently, with the degree of fault qualified as moderate. The fact that no other sanction has been imposed on CI Com SA in the preceding three years was also taken into account. Given that CI Com SA has recognised its infringements and was willing to cooperate after the violations had been committed, the company's conduct was considered to be a mitigating factor and was taken into account while setting the fine at CHF 22,000. The sanction notice is legally binding.

If you have any questions, please contact Hrvoje Tkalcec, Head Communications & Media Relations

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SIX Exchange Regulation AG is a legally independent company of SIX Group AG 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