

Connexor Reporting-Manual (Release Nr. 3.0) for Reporting Obligations pursuant to Art. 9 of the Directive Regular Reporting Obligations as well as Annex 1¹

¹ This manual only contains explanations on the message types that are sent to SER.

Table of contents

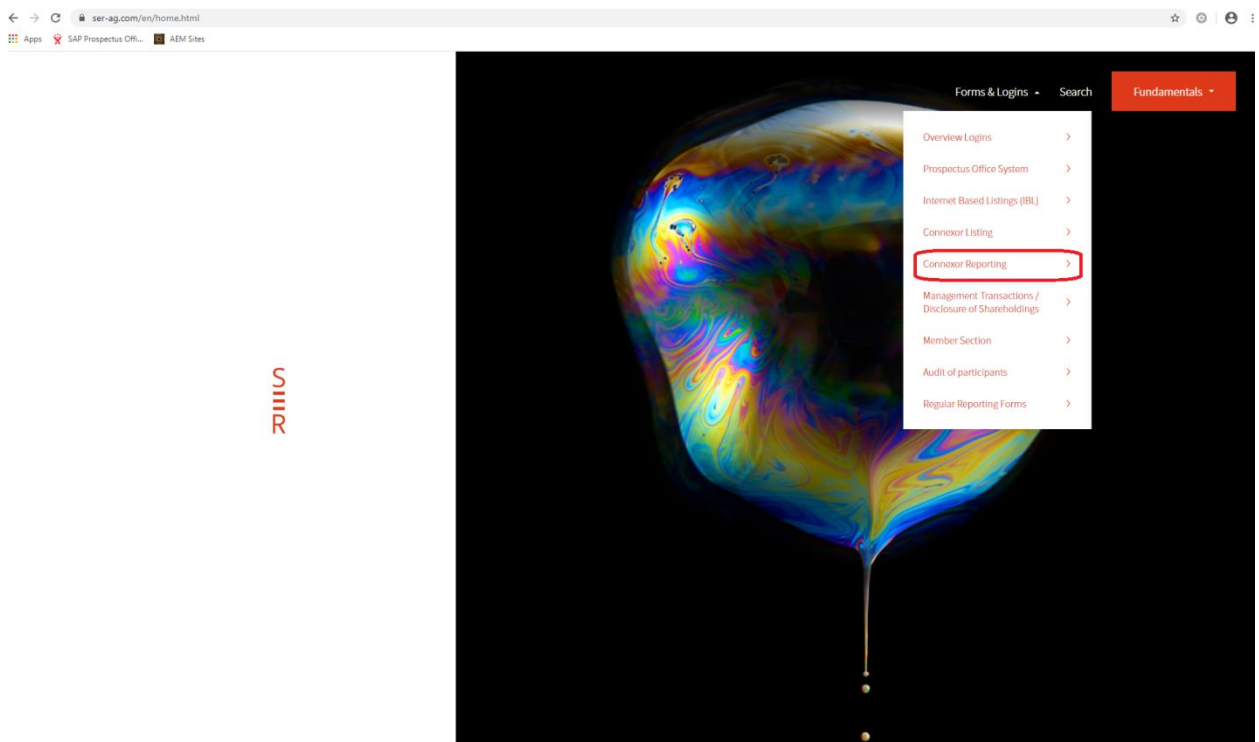
1. Introduction.....	4
2. Token / Two and four-eye principles	4
3. Legal note.....	6
3.1. Confidentiality	7
3.2. Transmitting information not required by the regulator.....	10
3.3. Processing of messages by SER	11
3.4. Compliance with reporting requirements in the event of technical problems	12
4. Registration.....	12
5. Logging in to the tool	13
6. Workflows.....	14
6.1. Working steps / user options	14
6.1.1. Sending a message to SER	14
6.1.1.1. 2-eye principle.....	16
6.1.1.2. 4-eye principle.....	22
6.1.2. Modifying a message under the 4-eye principle.....	26
6.1.3. Recalling a message (for 2-eye principle and to SIX Exchange Regulation only "Yes" / message types received by SIX Exchange Regulation only)	28
6.1.4. Replacing a message that has already been processed by SER (for 2-eye principle).....	29
6.1.5. Cancel a message that has already been processed by SER (2-eye principle)	31
6.1.6. Cancel a message (4-eye principle)	32
6.1.7. Delete a message (4-eye principle)	36
6.1.7.1. Delete a message that has already been executed – Clear the "My tasks" list.....	36
6.1.7.2. Delete a message in status „Pending dissemination to market“	37
6.1.8. Copying messages (cloning)	38
6.2. Treatment of messages by SER.....	39
6.2.1. Processing by SER	39
6.2.2. Rejection by SER	40
6.3. Exception "SIX Exchange Regulation only"	41
7. Individual message types.....	42
7.1. Message types that are only sent to SER	42
7.1.1. Message types that are relevant for the trading system.....	42
7.1.1.1. Exercise of conditional capital	42
7.1.1.2. Capital decrease by destruction of shares	43
7.1.2. Message types with primarily administrative content	44
7.1.2.1. Address change	44
7.1.2.2. Changes of contact persons.....	45
7.1.2.3. Changes to investment policy / the fee model	46
7.1.3. Message types primarily for informing market participants.....	47
7.1.3.1. Changes of web address.....	47
7.1.3.2. Capital structure (Creation/Cancellation authorized/conditional capital; entry commercial register capital; foreign companies: capital).....	48
7.1.3.3. Opting out / Opting up	49
7.1.3.4. Shares with restricted transferability	50
7.1.4. Message types related to financial reporting.....	52

7.1.4.1. Change of balance sheet date	52
7.1.4.2. Change of auditor.....	53
7.1.4.3. Recognition of a foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland	54
7.1.4.4. Financial reports.....	55
7.1.4.5 Sustainability report (optional)	56
7.1.4.6. Change of business activity.....	57
7.1.4.7. Public share buyback program	58
7.2. Common message types.....	59
7.2.1. Change of name.....	59
7.2.2. Notification of dividends	60
7.2.2.1. Cash dividends.....	60
7.2.2.2. Share premium dividend	61
7.2.2.3. Stock dividend.....	62
7.2.2.4. Commodity dividend.....	63
7.2.3. Messages relating to the GM.....	64
7.2.3.1. Date of the next GM	64
7.2.3.2. Date of close share register.....	65
7.2.3.3. Invitation to next GM	66
7.2.3.4. GM resolutions	67
7.2.4. Messages regarding capital decreases	68
7.2.4.1. Capital decrease by repayment of nominal value	68
7.2.4.2. Capital decrease by declarative reduction	69
8. Contacts	70
9. Abbreviations / Definitions.....	71

1. Introduction

Connexor Reporting (electronic reporting platform) is used exclusively to report information that must be disclosed to SIX Exchange Regulation AG (SER) pursuant to Art. 9 of the Directive on Regular Reporting Obligations for Issuers with Equity Securities (primary or main listing equity securities [s. also annex 1; [DRRO](#)]). This means that issuers of primary-respectively main-listed equity securities use Connexor Reporting to fulfill their reporting obligations (see also Directive Reporting Platform DRRO [[DRPRO](#)]).

Connexor Reporting is not intended for reporting management transactions, disclosure of shareholding or providing information in accordance with Art. 10 to 14 of the [DRRO](#) to SER. To report management transactions or shareholdings, please use the Reporting platform of SIX Swiss Exchange's Disclosure Office. The data pursuant to [DRRO](#), Art. 10 to 14 (s. also annexes 2 to 6) are to be submitted to SER, depending on the message, either by e-mail (reporting-obligations@six-group.com), or via the [online form](#).

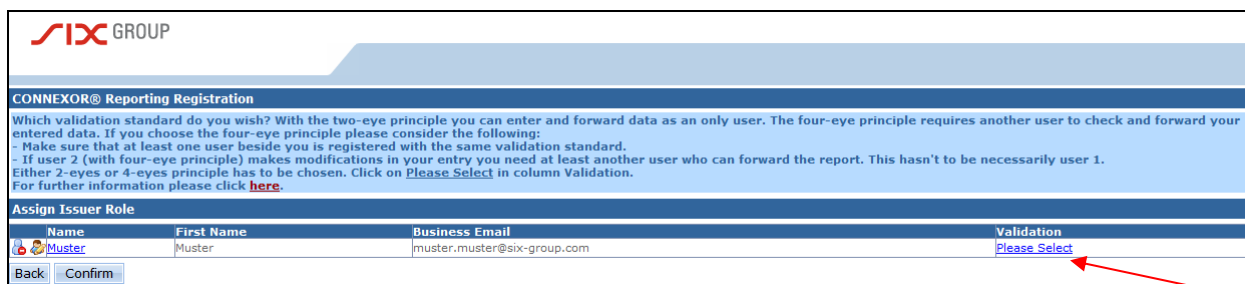


2. Token / 2 and 4-eye principles

To use Connexor Reporting, the employee of the issuer (user) must have a token. **It is recommended that several people have tokens so that if one person is on holiday or off work sick, the reports can still be made in good time to SER.**

To obtain a token, a user must first [register](#) (see section 4 below) and choose an authentication solution (Hardware token of RSA or Mobile App of Futurae. SER forwards the registration to the Service Desk of SIX SIS Ltd.

When registering, the user must choose between the 2-eye principle or the 4-eye principle. Under the 2-eye principle, the user can enter reports and send them directly to SER. Under the 4-eye principle, the first user enters the message, and then the second user "approves" the same by clicking on "Execute". The second user can also make changes to the message. These changes must then be approved by another user if the user who made the change is set up for the 4-eye principle; if this user is set up for the 2-eye principle, the message can be sent directly to SER.



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](#).

Name	First Name	Business Email	Validation
Muster	Muster	muster.muster@six-group.com	Please Select

Back Confirm



Validation Details

Name Muster

First Name Muster

Business Email muster.muster@six-group.com

Principle ▼

Close Save

The users who enter and send messages for an issuer can individually have both, the 2-eye and 4-eye principle. In practice, however, an issuer cannot register just one user for Connexor Reporting with the 4-eye principle as this user would not be able to send any messages to SER. In addition, it makes little sense for a company with only two users to register them both with the 4-eye principle. If one of these users were absent, the other user would be unable to send a message via Connexor Reporting.

If a user has completed entering a message and wishes to send the message to another user for review pursuant to the 4-eye principle, he/she needs to click on the "Update message type" button.

The screenshot shows the 'My tasks' section of the Connexor reporting interface. At the top, there are tabs for 'My tasks', 'Create event', and 'Recorded events'. Below the 'My tasks' tab, there are sub-tabs for 'My tasks' (selected) and 'Drafts'. The main area contains search filters: 'Description', 'Reference', 'Issuer ID' (with value '20279'), 'Creation date' (with value '17.11.2014'), 'Event', and 'Sort on' (with options 'Update date' and 'Descending'). A 'Query' button is highlighted with a red arrow, and a 'Reset' link is next to it. Below the filters, it says '2 records found (0.009sec)'. The results are shown in a table with columns: 'Name of issuer ISIN', 'Description Reference', 'Event', 'Creation date', 'Update date', and 'User'.

Name of issuer ISIN	Description Reference	Event	Creation date	Update date	User
ABB Ltd CH.0012221716	New-Preliminary-For approval 19648	Cash dividend	17.11.2014 - 10:13	17.11.2014 - 10:13	
ABB Ltd.	New-Definitive-For approval 19645	Date of next GM	17.11.2014 - 10:11	17.11.2014 - 10:11	

2 records found (0.009sec)

3. Legal note

Pursuant to Art. 55 of the Listing Rules in conjunction with [Art. 9 DRRO](#), issuers with primary- or main-listed equity securities on SIX Swiss Exchange Ltd are obliged to disclose certain information to SER within specific deadlines.

The issuer has to fill the following message types due to provisions of the stock exchange:

- Change of name;
- Address change;
- Change of contact persons;
- Change of web address;
- Change of balance sheet date;
- Change of auditor;
- Changes to investment policy / to the fee model;
- Change of business activity (investment and real estate company);
- **Dividend:** Cash dividend; Share premium dividend; Stock dividend; Commodity dividend
- **General meeting of shareholders (GMS):** Date of next GM; Date of close share register (registered shares); Invitation to next GM; GM resolutions;
- Financial reports (annual and semi-annual report);
- **Capital decrease:** By declarative reduction; by repayment of nominal value; by destruction of shares;
- **Capital structure:** Creation / Cancellation authorized / conditional capital; annual commercial register entry of newly created securities from conditional capital; for issuers with no domicile in Switzerland; current number of issued equity and the associated voting rights;
- monthly exercise of conditional capital;
- Sustainability Report;
- Public share buyback program;
- Recognition of a foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland;
- Opting out / Opting up;
- Shares with restricted transferability.

Certain message types 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 (ConnexorReporting@sisclear.com).

Please note that this manual contains only explanations on the message types that are sent to SER.

Under the "Help" button, you will find a list of the events (message types) that must be provided to SER as part of the reporting obligations.

3.1. Confidentiality

In principle, certain types of messages 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:

- Change of name; (provided that the ISIN changes);
- Dividend reports (cash dividend, share premium dividend, stock dividend, commodity dividend);
- Date of next general meeting of shareholders (GM);
- Date of close share register;

- Invitation to next GM;
- GM resolutions;
- Two forms of capital decrease (by repayment of nominal value, by declarative reduction).

In this context, it is **important** to note that - **if the message contains new potentially price-sensitive facts (eg. 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 Connexor Reporting, as long as you do not click the "Yes" button in the "SIX Exchange Regulation only" label (s. also below).**

For types of messages that are sent to more than one recipient, there are two sub-types: Messages with or without the "Additional information" tab (see section 2 below).

Cash dividend

Issuer ID	20279	Name of issuer	ABB Ltd.
ISIN	CH.001'222'171'6	Swiss security number	1222171
Security description	ABB LTD N	Security category	Registered shares
Security symbol	ABBN	Issuer agent ID	CH000024-SIX SIS
SIX Exchange Regulation only	No	Event type	New

Information re Regulator

Additional information

Record date

16.01.2015

Dividend type

Final

Tax eligibility

☒ Yes ☐ No

Gross dividend per equity

5.50

Tax rate (%)

35.00

Tax amount

1.925

Net dividend per equity

3.575

Event stage indicator

Web address

Save

Print

Execute

> Reset

Message types without the "Additional information" tab

If the company uses the 2-eye principle, the message is sent 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 with the "Additional information" tab

For these message types, 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 above as well as section 2).

If the user clicks on "Yes", he/she can enter additional information 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 (see section 2 above).

The issuer can enter information for SER with any message type. These comments, which must be entered into the field "Note to SIX Exchange Regulation", are only sent to SER. For certain message types 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 [point 6 DRRO](#).

Note to SIX Exchange Regulation	<div></div>
Remarks to market	<div></div>

For the message types listed above, if a company wishes to send a message initially only to SER on a confidential basis, the user in question can send the message just to SER by clicking on the **"SIX Exchange Regulation only"** button:

HomeEnglishibcissuer11@six-group.com

My tasksCreate eventRecorded events

Invitation to next GM

Issuer ID

20279

Name of issuer

ABB Ltd.

SIX Exchange Regulation only

☐ Yes
 ☒ No

Event type

New

Information re Regulator

For the message in question to be received subsequently by the main paying agent and / or SIX SIS Ltd as well, the issuer has to send the message again. The user will receive a corresponding note under the tab "My tasks". 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 (arrow no. 2).

The screenshot shows the 'My tasks' section of a web application. It includes a search bar with fields for Description, Reference, Issuer ID, Creation date, Event, and Sort on. Below the search bar is a table with 2 records found. The table has columns: Name of issuer, Description, Event, Creation date, and User. Two red arrows are pointing to specific cells: Arrow 1 points to the 'Description' column, and Arrow 2 points to the 'Name of issuer' column.

Name of issuer	Description	Event	Creation date	User
ABB Ltd.	Pending dissemination to market 19664	Date of next GM	17.11.2014 - 11:07	
ABB Ltd. CH.001'222'171'6	Pending dissemination to market 19662	Cash dividend	17.11.2014 - 11:06	

3.2. Transmitting information not required by the regulator

For certain message types that are not only sent to SER (see list above section 1.1.1), 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", he/she can then complete the relevant fields under the "Additional information" tab (see also section 1.1.1 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:

- Cash 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:

Confirmation needed

Date from / to

26.07.2012

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 you select **"No"** in respect of "SIX Exchange Regulation only" for the reports **"Invitation to next GM"** and **"GM resolutions"** and you do **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. You can disregard this task, if you do not want to enter additional information to the market. You can delete the task from your task list, if you wish (arrow no. 1).

As noted above, you have fulfilled your reporting obligation under the Directive on Regular Reporting Obligations by completing the information under the first "Information re Regulator" tab.

My tasks

Create event

Recorded events

My tasks

Drafts

Description

Reference

Issuer ID

19876

Creation date

18.02.2016

Event

Sort on

Update date

Descending

Query

Reset

1 record(s) found (0.033sec)

	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	

1 record(s) found (0.033sec)

3.3. 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.

3.4. Compliance with reporting requirements in the event of technical problems

If you encounter technical problems when using the tool, please contact SER immediately by e-mail (connexor-reporting@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](#).

4. Registration

For reasons of security, access to Connexor Reporting is only possible with a token. In order to get a token, users have to [register](#) first. As soon as we have received the registration, with an indication of the desired authentication option (RSA hardware token or Futurae mobile app), SER will generally send the RSA Token (hardware token) to the person who was indicated to SER by the Issuer as the contact person for regular reporting obligations in accordance with [Art. 9 DRRO](#). The login information for the Futurae Mobile App shall be delivered to the individual end users as soon as the Issuer's contact person for regular reporting obligation has given SER the written approval.

If the companies commission third parties (lawyers, consultants, banks, etc.; Art. 8 DRRO) to perform their reporting obligations under [Art. 9 DRRO](#), SER shall be informed of that fact in writing, along with the names and addresses of such third parties (including telephone numbers, fax numbers and e-mail addresses). Moreover, in that case, it is necessary to send a written power of attorney to the following address: SIX Exchange Regulation AG, Listing & Enforcement, Listing, Postfach, CH-8021 Zürich. The power of attorney may also be e-mailed to SER (connexor-reporting@six-group.com). As soon as SER has received the power of attorney, the authorised person (third-party company) can report to SER the persons who require a token.

If users forget their PIN for the token, **only the ServiceDesk of SIX SIS AG (servicedesk@sisclear.com, Tel.: +41 58 399 4848) can reset the token and thus unblock it.**

If the holder of a token ceases to need it, please inform SER of that fact by e-mail (connexor-reporting@six-group.com) (blocking of token) and send the token back to SIX Exchange Regulation AG, Listing & Enforcement, Listing, Postfach, CH-8021 Zürich. Under certain conditions, it is also possible to have the RSA token "re-registered" in the name of a new holder. For further details, please contact us at the e-mail address indicated above. It is also important to contact SER as quickly as possible in case of loss of the token.

5. Logging in to the tool

When registering for Connexor Reporting, the user must indicate the desired authentication option. The user can choose between an RSA hardware token and a Futurae Mobile App.

The first time users log into Connexor Reporting, they should follow the instructions sent by SIX SIS AG for the RSA Secure ID Self-Service Console or the instructions for the Futurae App to set their PIN. The various login variants are also explained in the attached documents.

Login with RSA Token



Login with Futurae Mobile App



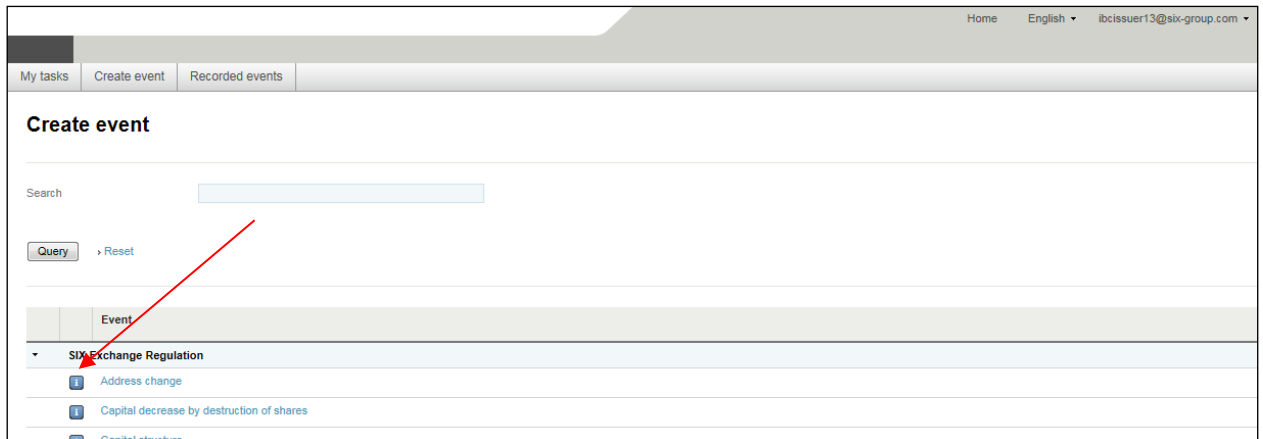
If unable to log in, please contact our ServiceDesk directly (servicedesk@sisclear.com, Tel.: +41 58 399 4848).

6. Workflows

6.1. Working steps / user options

6.1.1. Sending a message to SER

Please click on the "Create event" tab to display the list of message types. Then select the message type you want. To show information about the message type, 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 3 above). The respective addressees of the individual message types are grouped in the list (arrow no. 1). The list containing the events (message types) which the company is required to report to SER under stock exchange law, appears by clicking the "Help" button (arrow no. 2).

HomeEnglishibcissuer11@six-group.com

My tasksCreate eventRecorded events

Create event

Search

Query

Reset

Event

SIX Exchange Regulation

SIX SIS / Issuer Agent

SIX Exchange Regulation / SIS / Issuer Agent

Print Help

6.1.1.1. 2-eye principle

For details on the 2-eye principle see section 2 above.

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

Create event

Search

Query Reset

Event

- SIX Exchange Regulation
 - Address change
 - Capital decrease by destruction of shares
 - Capital structure
 - Change of auditor
 - Change of balance sheet date
 - Change of business activity
 - Changes of contact persons
 - Changes of web address
 - Changes to investment policy / to the fee model
 - Exercise of conditional capital
 - Financial reports
 - Online call / Online up

Click on the magnifying glass button:

My tasks Create event Recorded events

Capital decrease by repayment of nominal value

Issuer ID 20279

ISIN CH.0012221716

Security description ABB LTD N

Security symbol ABBN

SIX Exchange Regulation only ☐ Yes ☒ No

Name of issuer ABB Ltd.

Swiss security number 1222171

Security category Registered shares

Issuer agent ID

Event type New

Information re Regulator

Type of notification Definitive

Ex date (Date of exchange adjustment)

Payment date

If, exceptionally, an issuer has more than one equity security listed on SIX Swiss Exchange Ltd, 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

1 - 2, 2 records found (0.12 sec) << < back | next > >> Page 1 of 1

ISIN	Swiss security number (SSN)	Security description	Security category	Security symbol
CH.001'200'526'7	1200526	NOVARTIS N	Registered shares	NOVN
CH.003'845'944'5	3845941	NOVARTIS N 2. LINE	Registered shares	NOVNEE

1 - 2, 2 records found (0.12 sec) << < back | next > >> Page 1 of 1

Please note that for certain message types 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 1.1.1 above:

Capital decrease by repayment of nominal value

Issuer ID: 10152

ISIN: CH.001'200'526'7

Security description: NOVARTIS N

Security symbol: NOVN

SIX Exchange Regulation only: ☐ Yes ☒ No

Name of issuer: Novartis AG

Swiss security number: 1200526

Security category: Registered shares

Issuer agent ID:

Event type: New

For certain message types, 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. In this case the message will be sent only to SER.

Capital decrease by repayment of nominal value

Issuer ID: 20279

ISIN: CH.001'222'171'6

Security description: ABB LTD N

Security symbol: ABBN

SIX Exchange Regulation only: ☐ Yes ☒ No

Name of issuer: ABB Ltd.

Swiss security number: 1222171

Security category: Registered shares

Issuer agent ID:

Event type: New

Type of notification: Definitive

Ex date (Date of exchange adjustment):

Payment date:

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):

Information re Regulator

Type of notification	Definitive
Ex date (Date of exchange adjustment)	<input type="text"/> 31
Payment date	<input type="text"/> 31
Replacement for ordinary dividends	<input checked="" 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	0.5
New nominal value	<input type="text"/>
Note to SIX Exchange Regulation	<div><div></div></div>
Remarks to market	<div><div></div></div>
Contact person	simona steiger
Telephone (direct)	+41-583994848

(A red bracket groups the fields from 'Ex date' to 'Remarks to market'. A red arrow points from the number '7' to this bracket.)

Attachments

Type	Description
No records found	


Upload

Save

Print

Execute

> Reset

 The report has been saved successfully.

For certain message types, 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:

Attachments

Type	Description
No records found	

Upload **9**

Save Print Execute > Reset

Attachment

Type

Description

Attach file Browse...

Upload

10

Attachment

Type Commercial register excerpt

Description

Attach file Browse...

Upload

11

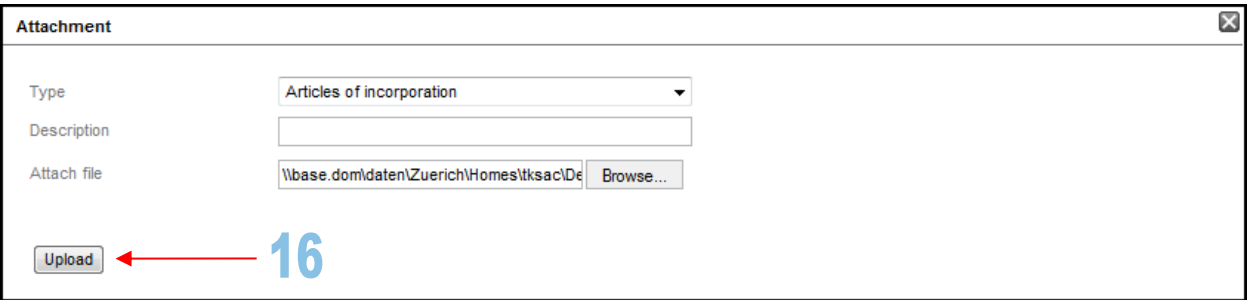
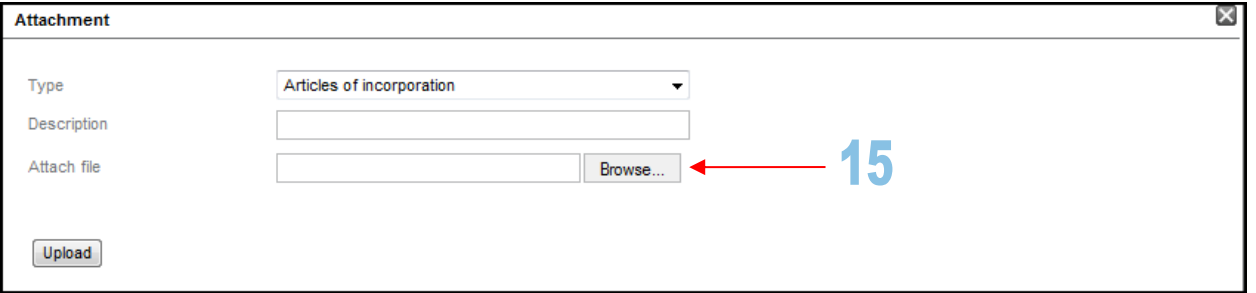
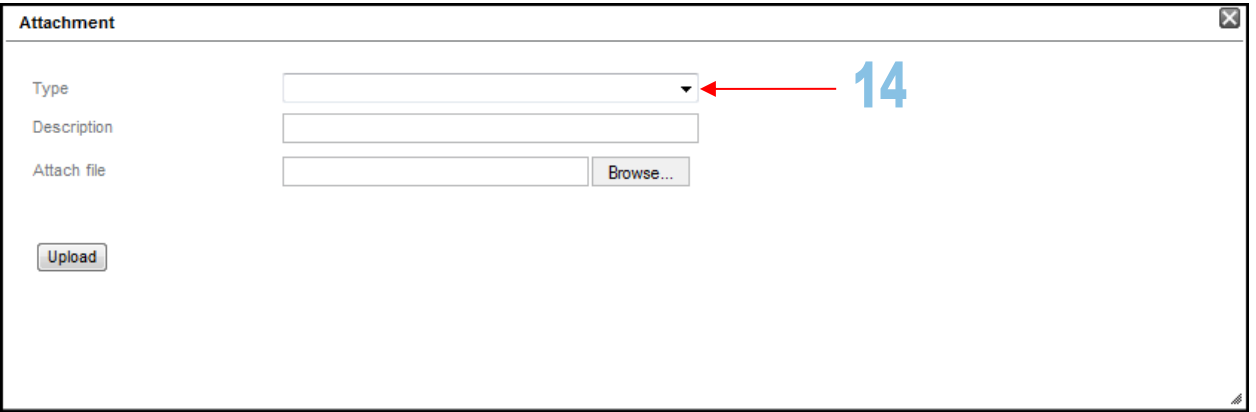
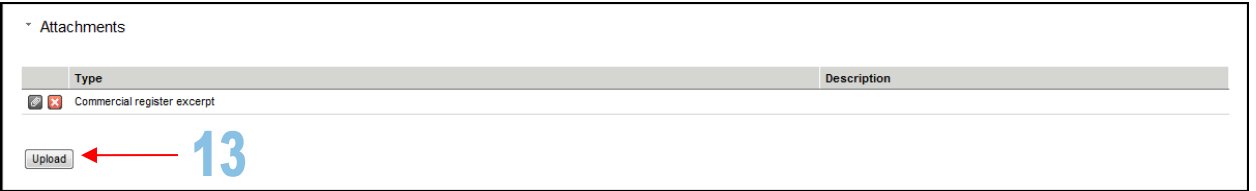
Attachment

Type Commercial register excerpt

Description

Attach file \\base.dom\daten\Zuerich\Homes\tsac\De Browse...

Upload **12**



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 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 1.1.1 f.):

▼ Attachments

Type	Description
Articles of incorporation	
Commercial register excerpt	

Upload

Save Print **Execute** > Reset

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

ISIN

Search by

Event

Issuer ID

Type of notification

File number

Date from / to

Event status

Updated by

Event type

Sort on

Search ☒ Advanced search

Query > Reset

18

19

	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
	ABB Ltd.	CH.001'222'171'6 1222171 Registered shares ABB LTD N	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 IBCISSUER12 IBCISSUER12	2014A0000006395

6.1.1.2. 4-eye principle

For information on the 4-eye principle, see section 2 above.

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

Create event

Search

Query Reset

Event
SIX Exchange Regulation
Address change
Capital decrease by destruction of shares
Capital structure
Change of auditor
Change of balance sheet date
Change of business activity
Changes of contact persons
Changes of web address
Changes to investment policy / to the fee model
Exercise of conditional capital
Financial reports
Opting out / Opting up

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

Opting out / Opting up

Issuer ID 20279 Name of issuer ABB Ltd.

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	

Upload

> [Reset](#)

4 (User 1)

 The report has been saved successfully.

Opting out / Opting up

Issuer ID	<input type="text" value="20279"/>	Name of issuer	<input type="text" value="ABB Ltd."/>
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:

Telephone (direct):

Attachments

	Type	Description
No records found		

5 (User 1)

> [Reset](#)

Attachment

Type:

Description:

Attach file:

6 (User 1)

7 (User 1)

Attachment ✕

Type

Articles of incorporation

Description

Attach file

\\base.dom\daten\Zuerich\Homes\tk\sac\De

Browse...

Upload

8 (User 1)

✓ Attachment has been uploaded successfully.

Opting out / Opting up

Issuer ID

20279

Name of issuer

ABB Ltd.

SIX Exchange Regulation only

No

Event type

New

Information re Regulator

Type of notification

Definitive

Opting out / Opting up

Opting out

Percentage

Note to SIX Exchange Regulation

Contact person

IBCISSUER11 IBCISSUER11

Telephone (direct)

+41-583992913

Attachments

	Type	Description
No records found		

Upload

9 (User 1)

Save

Print

Execute

» Reset

✓ 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:

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

My tasks

My tasks Drafts

Description:
 Reference:
 Issuer ID:
 Creation date:
 Event:
 Sort on:
 Query > Reset

1 record(s) found (0.008sec)

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
ABB Ltd.	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
No records found	

Upload





Save Print **Execute** > Reset

✓ Your action has been completed successfully.

6.1.2. Modifying a message under the four-eye principle

If a user has sent a message to be checked, every other user at the issuer is authorized 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' section of the Connexor reporting system. The interface includes a navigation bar with 'My tasks', 'Create event', and 'Recorded events'. The 'My tasks' section has a 'My tasks' tab and a 'Drafts' tab. Below the tabs are input fields for 'Description', 'Reference', 'Issuer ID' (with value '20279'), 'Creation date' (with value '17.11.2014'), 'Event', 'Sort on', and 'Update date'. There are 'Query' and 'Reset' buttons. Below the search area, it says '1 record(s) found (0.009sec)'. A table displays the task details:

	Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
   	ABB Ltd.	New-Definitive-For approval 19686	Financial reports	17.11.2014 - 15:39 17.11.2014 - 15:39	

Below the table, it says '1 record(s) found (0.009sec)'.


Financial reports

Issuer ID	20279	Name of issuer	ABB Ltd.
SIX Exchange Regulation only	Yes	Event type	New

Information re Regulator

Type of notification	Definitive
Filing annual report / half-year report	Annual report
Date of publication of the report	17.11.2014
Note to SIX Exchange Regulation	
Contact person	IBC ISSUER11 IBC ISSUER11
Telephone (direct)	+41-583992913

Attachments

Type	Description
 Annual report / half-year report	

Upload

Save Print Execute [Reset](#)

3 (User 2)

4 (User 2)

 Your action has been completed successfully.

6.1.3. Recalling a message (for two-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 6.1.8 below):

The screenshot shows the 'Recorded events' section of a web application. At the top, there is a navigation bar with tabs: 'My tasks', 'Create event', and 'Recorded events'. A red arrow points to the 'Recorded events' tab, which is labeled with a blue '1'. Below the tabs, the 'Recorded events' section contains a search form. The form has several input fields: 'ISIN', 'Search by' (with a dropdown menu set to 'Updated on'), 'Event', 'Issuer ID' (with the value '20279'), 'Type of notification', and 'File number'. There are also date range filters ('Date from / to' set to '17.11.2014' to '17.11.2014'), 'Event status', 'Updated by', 'Event type', and 'Sort on' (set to 'Updated on' and 'Descending'). A red arrow points to the 'Query' button, which is labeled with a blue '2'. Next to the 'Query' button is a 'Reset' link.

		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
			ABB Ltd.	Financial reports New Definitive		Disseminated Waiting to be processed by SER	17.11.2014 15:56:25 IBCISSUER12 IBCISSUER12	2014A0000006397

A red arrow points to the 'ABB Ltd.' entry in the table, which is labeled with a blue '3'.

The report has been recalled successfully.

6.1.4. 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 6.1.5 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 the 'Recorded events' tab selected. The search interface includes fields for ISIN, Search by (Updated on), Event, Issuer ID (20279), Type of notification, and File number. On the right, there are filters for Date from / to (17.11.2014), Event status, Updated by, Event type, and Sort on (Updated on, Descending). A red arrow labeled '1' points to the 'Recorded events' tab, and another red arrow labeled '2' points to the 'Query' button.

The screenshot shows the search results table. A red arrow labeled '3' points to the first record's action icons. The table has the following columns: Name of issuer, ISIN, Swiss security number (SSN), Security category, Security description, Event type, Event type notification, Effective-/ Ex-date, Record date, Payment date, Meeting date, Event status, Issuer agent event status, SER status, Updated on, Updated by, and File number.

Name of issuer	ISIN	Swiss security number (SSN)	Security category	Security description	Event type	Event type notification	Effective-/ Ex-date	Record date	Payment date	Meeting date	Event status	Issuer agent event status	SER status	Updated on	Updated by	File number
ABB Ltd.					Financial reports	New					Disseminated			17.11.2014 16:20:33		2014A0000006397
					Definitive						Processed by SER					

Financial reports

Issuer ID	20279	Name of issuer	ABB Ltd.
SIX Exchange Regulation only	Yes	Event type	New

Information re Regulator

Type of notification: Definitive

Filing annual report / half-year report: Annual report

Date of publication of the report: 17.11.2014

Note to SIX Exchange Regulation

Contact person: IBCISSUER11 IBCISSUER11

Telephone (direct): +41-583992913

4

Save Print Execute > Reset

5

✓ Your action has been completed successfully.

If the message is being replaced after a deadline for submission has expired for this message type pursuant to [DRRO, Annex 1](#), the "Reporting requirements" team (team "Meldepflichten") at SER must be notified immediately (tel. +41 [58] 399 21 52 or +41 [0]58 399 29 13).

6.1.5. 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/she 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":

Recorded events

ISIN:

Search by:

Event:

Issuer ID:

Type of notification:

File number:

Date from / to: to

Event status:

Updated by:

Event type:

Sort on:

[Reset](#)

Recorded events

ISIN:

Search by:

Event:

Issuer ID:

Type of notification:

File number:

Date from / to: to

Event status:



Updated by:

Event type:

Sort on:

[Reset](#)

1 record(s) found (0.039sec)

	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
 	Zurich Insurance Group AG1		Date of next GM New Definitive	12.02.2015	Disseminated Processed by SER	18.11.2014 12:09:32 Meldepflichten Meldepflichten	2014A0000006401

Date of next GM

Issuer ID	20280	Name of issuer	Zurich Insurance Group AG1
SIX Exchange Regulation only	No	Event type	New

Information re Regulator

Type of notification: Definitive

Date of next GM: 12.02.2015

Meeting of the participants (date):

Meeting type: Ordinary meeting

Note to SIX Exchange Regulation:

Comments from SIX Exchange Regulation:

Contact person: IBCISSUER13 IBCISSUER13

Cancellation remarks:

Additional cancellation remarks:

4

Execute > Reset 5

✓ Your action has been completed successfully.

6.1.6. 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.

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

Recorded events 1 (User 1)

ISIN: [input field]

Search by: Updated on [dropdown]

Event: [input field]

Issuer ID: 20279

Type of notification: [dropdown]

File number: [input field]

2 (User 1)

Query > Reset

Search Advanced search

Date from / to: 18.11.2014 18.11.2014

Event status: [dropdown]

Updated by: [input field]

Event type: [dropdown]

Sort on: Updated on Descending

Recorded events

☐ Search ☒ Advanced search

ISIN:
 Search by:
 Event:
 Issuer ID:
 Type of notification:
 File number:

Date from / to: to
 Event status:
 Updated by:
 Event type:
 Sort on:

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
	ABB Ltd.	CH.001'222'171'6 1222171 Registered shares ABB LTD N	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	2014A00000006402

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:

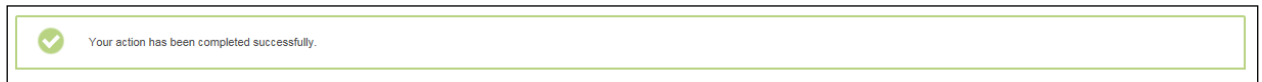
Cash dividend

Issuer ID: 20279
 ISIN: CH.001'222'171'6
 Security description: ABB LTD N
 Security symbol: ABBN
 SIX Exchange Regulation only: No

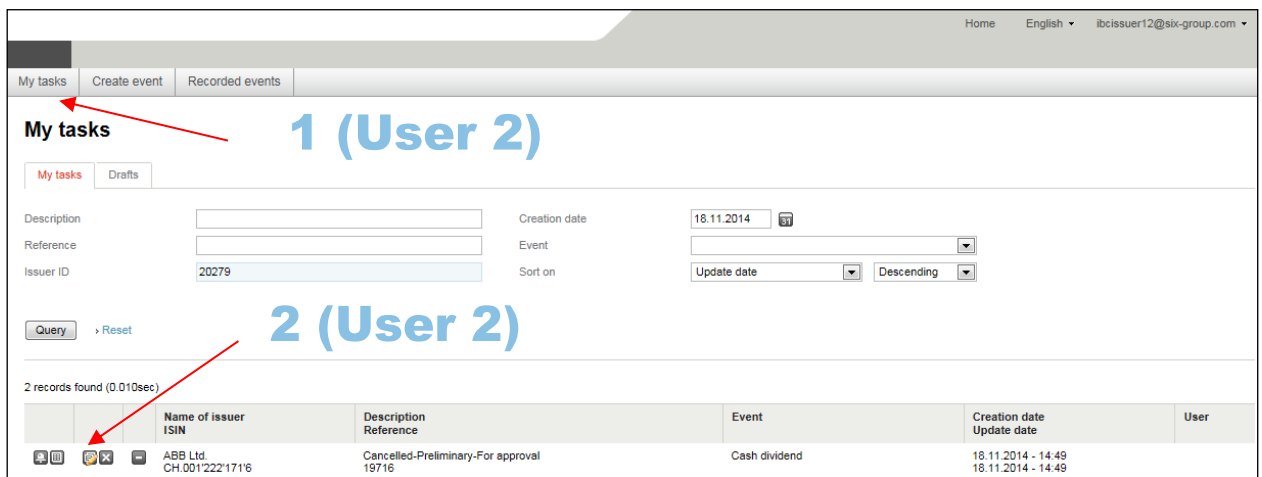
Name of issuer: ABB Ltd.
 Swiss security number: 1222171
 Security category: Registered shares
 Issuer agent ID: CH100025-UBS AG
 Event type: New

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): +41-583992913
 Cancellation remarks:

4 (User 1)



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:




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)	+41-583992913
Cancellation remarks	-
Additional cancellation remarks	-

Attachments

	Type	Description
No records found		

[Reset](#)

 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 6.1.8 below):

Recorded events

Search filters: ISIN, Search by (Updated on), Date from / to (18.11.2014 to 18.11.2014), Event status, Issuer ID (20279), Type of notification, File number. Sort on: Updated on, Descending.

4 records found (0.045sec)

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
ABB Ltd.	CH.001'222'171'6 1222171 Registered shares ABB LTD N	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	2014A0000006403

6.1.7. Delete a message (4-eye principle)

6.1.7.1. 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).

My tasks

Search filters: Description, Reference, Issuer ID (20279), Creation date (18.11.2014), Event, Sort on (Update date, Descending).

2 records found (0.010sec)

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
ABB Ltd. CH.001'222'171'6	Cancelled-Preliminary-For approval 19716	Cash dividend	18.11.2014 - 14:49 18.11.2014 - 14:49	

6.1.7.2. 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/she can click on the relevant icon (arrow no. 1).

The screenshot shows the 'My tasks' page with a search filter for '20279'. The task list contains one record for ABB Ltd. with the status 'Pending dissemination to market'. A red arrow labeled '1' points to the trash can icon in the action column of this task.

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
ABB Ltd. CH.001'222'171'6	Pending dissemination to market 19724	Cash dividend	19.11.2014 - 08:55 19.11.2014 - 08:55	

The screenshot shows the 'My tasks' page after the task has been deleted. The task list now shows the task with the status 'Deleted - Pending for approval'. A red arrow labeled '2' points to a new icon (a square with an 'x') in the action column of this task.

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
ABB Ltd. CH.001'222'171'6	Deleted - Pending for approval 19724	Cash dividend	19.11.2014 - 08:55 19.11.2014 - 08:55	IBCISSUER11 IBCISSUER11

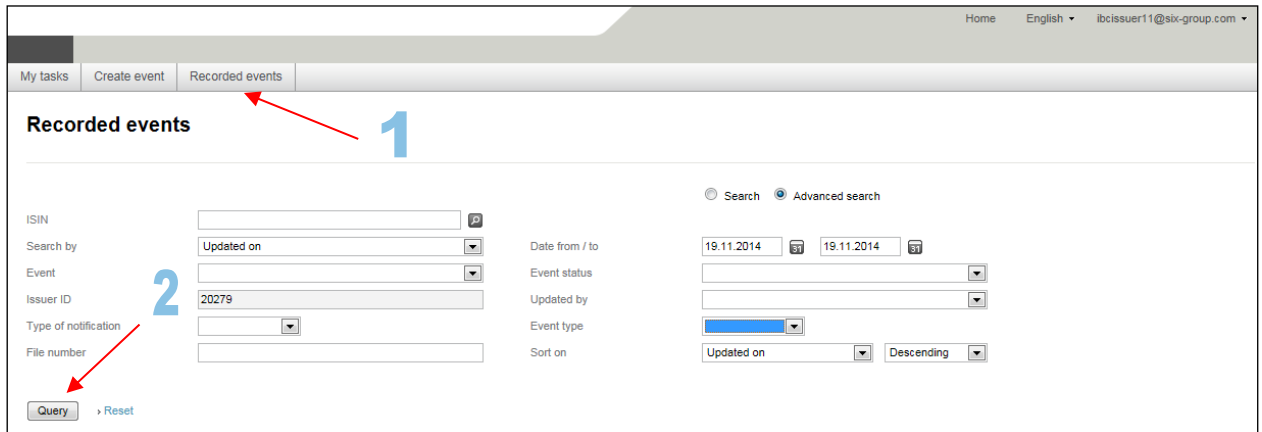
As a result a second icon appears (arrow no. 2). By clicking on this icon you can undo the deletion. All other users will also see, that a message has been deleted and is pending for approval. They have now the possibility to either delete the message definitive (arrow no. 3) or to undo the deletion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

The screenshot shows the 'My tasks' page after the task has been deleted. The task list now shows the task with the status 'Deleted - Pending for approval'. A red arrow labeled '3' points to the trash can icon in the action column, and a red arrow labeled '4' points to the square with an 'x' icon in the action column.

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
ABB Ltd. CH.001'222'171'6	Deleted - Pending for approval 19724	Cash dividend	19.11.2014 - 08:55 19.11.2014 - 08:55	IBCISSUER11 IBCISSUER11

6.1.8. Copying messages (cloning)

If a user has to enter a message that is the same as or similar to one entered previously, he/she 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/she can then make changes to the new message if necessary and execute it:



Recorded events

ISIN:

Search by:

Event:

Issuer ID:

Type of notification:

File number:

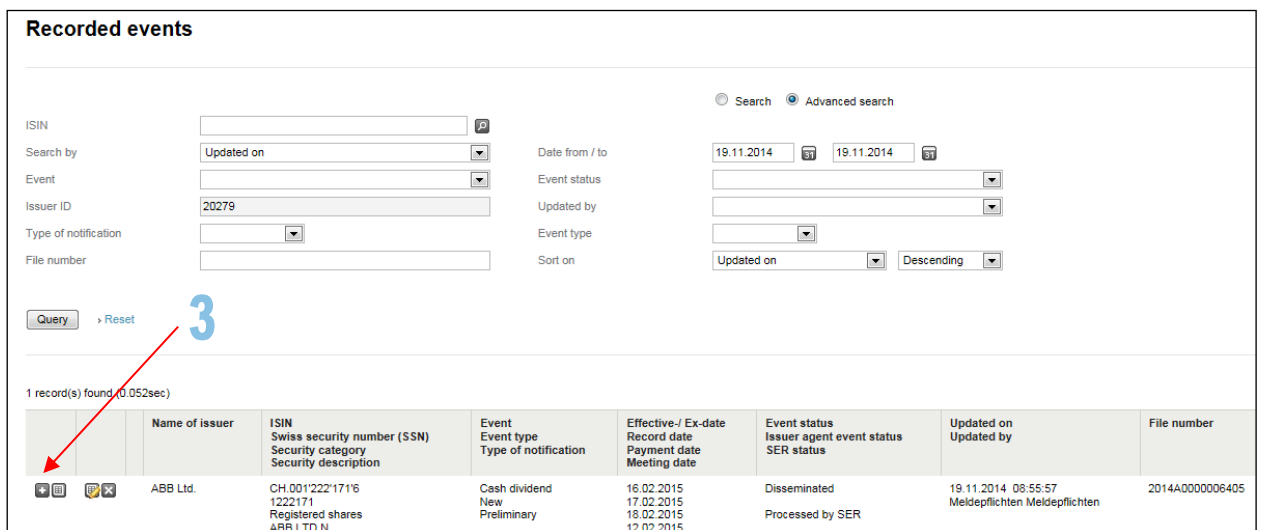
Date from / to:

Event status:

Updated by:

Event type:

Sort on:



Recorded events

ISIN:

Search by:

Event:

Issuer ID:

Type of notification:

File number:

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
	ABB Ltd.	CH.001'222'171'6 1222171 Registered shares ABB LTD N	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	2014A0000006405

6.2. Treatment of messages by SER

6.2.1. Processing by SER

Under the "Recorded events" tab, you can see if the message has been processed by SER:

Recorded events

☒ Advanced search

Search by

Updated on

Date from / to

19.11.2014 19.11.2014

Event

Event status

Updated by

Event type

Issuer ID

20279

Sort on

Updated on Descending

Type of notification

File number

Query

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	
			ABB Ltd.	CH 001'222'171'6 1222171 Registered shares ABB LTD N	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	2014A0000006405

6.2.2. Rejection by SER

Under the recorded messages, you can see if SER has rejected the message. The e-mail received by the user when the message is rejected contains the reasons for the rejection. Please note that for message types that in principle do not just go to SER and for which the user has not clicked the "Yes" button under the "SIX Exchange Regulation only" label, the message will already have been sent to the third parties **before being rejected** by SER. This means that the contents of the message will have been made public before the message is rejected by SER (see section 1.1.1 f. above and section 6.2 above):

[Home](#) [English](#) [ibcissuer11@six-group.com](#)

My tasks
Create event
Recorded events

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](#)

2 records found (0.038sec)

	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
	ABB Ltd.	CH.001'222'171'6 1222171 Registered shares ABB LTD N	Cash dividend New Preliminary	16.02.2015 17.02.2015 18.02.2015 12.02.2015	Disseminated Rejected by SER	19.11.2014 09:11:58 Meldepflichten Meldepflichten	2014A0000006406

6.3. 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 contents of the message will be treated as confidential by SER. This means, for example, that initially an official message will not be published pursuant to [Art. 6, DRRO](#). For the third parties to whom the message would otherwise be sent to receive the message at the specified time, the message must be sent again (see section 1.1.1 f. above). Under the "My tasks" tab there is the correspondent advice (see also section 1.1.1 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

20279

ISIN

CH.001'222'171'6

Security description

ABB LTD N

Security symbol

ABBN

SIX Exchange Regulation only

☐ Yes
 ☒ No

Name of issuer

ABB Ltd.

Swiss security number

1222171

Security category

Registered shares

Issuer agent ID

Event type

New

Information re Regulator

Type of notification

Date of GM

Meeting of the participants (date)

Ex date

Payment date

Coupon number

Currency

CHF

Gross dividend per equity

Thereof special dividend (amount)

0.00

Note to SIX Exchange Regulation

Remarks to market

Contact person

IBCISSUER11 IBCISSUER11

Telephone (direct)

+41-583992913

7. Individual message types

7.1. Message types that are only sent to SER

Certain message types 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 notification pursuant to [Art.6 DRRO](#) or on the relevant [websites](#) of SIX Swiss Exchange Ltd).

7.1.1. Message types that are relevant for the trading system

7.1.1.1. Exercise of conditional capital

The monthly report of conditional capital can be sent to SER using the message type "Exercise of conditional capital" ([DRRO, Annex 1](#), Point 5.02):

Exercise of conditional capital	
Issuer ID	20279
ISIN	
Security description	
Security symbol	
SIX Exchange Regulation only	No
Name of issuer	ABB Ltd.
Swiss security number	
Security category	
Event type	New
Information re Regulator	
Type of notification	Definitive
Conditional capital pursuant to articles of incorporation (to message per article)	
Status as of the end of	
Number of spent securities	
Number of spent securities previous month	
Number of exercised securities from conditional capital previous month	
Number of remaining securities conditional capital	
Number of remaining securities conditional capital previous month	
Note to SIX Exchange Regulation	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

If an issuer knows in advance that it will not exercise any conditional capital over the next few months, it can send an application by e-mail (reporting-obligations@six-group.com) to SER. This exemption is limited to a maximum of one year. However, after this period has expired, another application can be submitted.

7.1.1.2. Capital decrease by destruction of shares

If equity securities are destroyed as part of a capital decrease, the message type "Capital decrease by destruction of shares" must be used ([DRRO, Annex 1](#), point 5.04).

The capital decrease requires a corresponding entry to be made in the commercial register; upon being entered into the register, this decrease is made public:

Capital decrease by destruction of shares	
Issuer ID	20279
ISIN	<input type="text"/>
Security description	<input type="text"/>
Security symbol	<input type="text"/>
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	<input type="text"/>
Security category	<input type="text"/>
Event type	New
<div>Information re Regulator</div>	
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	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.2. Message types with primarily administrative content

7.1.2.1. Address change

The message type "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 ([DRRO, Annex 1](#), point 1.02), the address to which legally relevant documents should be sent ([DRRO, Annex 1](#), point 1.03) as well as the invoice address ([DRRO, Annex 1](#), point 1.04):

Address change	
Issuer ID	20279
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
Type of notification	Definitive
Type of address	
Street, No.	
P.O. Box	
City	
Postcode	
Country	Switzerland
Telephone	
Fax	
E-Mail	
Correspondence language	
Note to SIX Exchange Regulation	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.2.2. Changes of contact persons

The message type "Changes of contact persons" can be used to make changes to the details for the contact person pursuant to [DRRO, Annex 1](#), point 1.07 (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).

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	20279
Name of issuer	ABB Ltd.
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Event type	New
Information re Regulator	
Type of notification	Definitive
Effective date	<input type="text"/>
Subject	<input type="text"/>
Predecessor - last name	<input type="text"/>
Predecessor - first name	<input type="text"/>
Successor - gender	<input type="text"/>
Successor - last name	<input type="text"/>
Successor - first name	<input type="text"/>
Street, No.	<input type="text"/>
P.O. Box	<input type="text"/>
Postcode	<input type="text"/>
City	<input type="text"/>
Country	Switzerland
Telephone (direct)	<input type="text"/>
Mobile No.	<input type="text"/>
Fax	<input type="text"/>
E-mail (direct)	<input type="text"/>
Team e-mail	<input type="text"/>
Reason for the change in function	<input type="text"/>

Various reason comments	<input type="text"/>
Correspondence language	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.2.3. Changes to investment policy / the fee model

Investment and real estate companies must notify SER of any changes to their investment policy or compensation model pursuant to Arts. 76 and 84 of the Listing Rules using the message type "Changes to investment policy / the compensation model" ([DRRO, Annex 1](#), point 1.10). Please note that you must upload and send to SER a PDF document that describes the new investment policy or new compensation model.

As the content of the message and the PDF document that must be submitted 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 1.1.1 above):

Changes to investment policy / to the fee model	
Issuer ID	20279
SIX Exchange Regulation only	Yes
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
Type of notification	Definitive
Effective date	<input type="text"/> 01
Subject of change	<input type="text"/>
Explanation	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.3. Message types primarily for informing market participants

7.1.3.1. Changes of web address

The message type "Changes of web address" is used to provide notification of the following current web links: 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 ([DRRO](#), [Annex 1](#), point 1.08):

Changes of web address	
Issuer ID	20279
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
Type of notification	Definitive
Effective date	<input type="text"/> 67
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	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.3.2. Capital structure

For messages relating to the creation or elimination of authorized or conditional capital in the articles of incorporation, the message type "Capital structure" should be used ([DRRO, Annex 1](#), point 5.01). The same message type is also used for providing notification of the annual entry of newly created securities from conditional capital in the commercial register ([DRRO, Annex 1](#), point 5.03) as well as to report the current number of issued equity securities and the associated voting rights for issuers with no domicile in Switzerland ([DRRO, Annex 1](#), point 5.05).

Changes in the capital structure of a company require a corresponding entry to be made in the commercial register. These are made public upon entry into the register. As a corresponding commercial register extract has to be sent with the notification to SER in PDF form, in practice it is not possible to send a confidential pre-notification to SER:

Capital structure	
Issuer ID	20279
ISIN	CH.001'222'171'6
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Event type	New
Information re Regulator	
Type of notification	Definitive
Changes in capital	
Number of shares (equities)	
Start of the validity period of the authorized capital	
End of the validity period of the authorized capital	
Foreign companies: total of equity securities issued	
Foreign companies: number of voting rights	
Foreign companies: reference date	
Relevant articles of the articles of incorporation	
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISUER11 IBCISUER11
Telephone (direct)	+41-583992913

7.1.3.3. Opting out / Opting up

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


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	20279	Name of issuer	ABB Ltd.
SIX Exchange Regulation only	No	Event type	New
Information re Regulator			
Type of notification	Definitive		
Opting out / Opting up	<input type="button" value="v"/>		
Percentage	<input type="text"/>		
Note to SIX Exchange Regulation	<div><div></div><div></div></div>		
Contact person	IBCISSUER11 IBCISSUER11		
Telephone (direct)	+41-583992913		

7.1.3.4. Shares with restricted transferability

The message type "Shares with restricted transferability" is used to provide notification of the introduction/removal of provisions in the articles of incorporation regarding shares with restricted transferability (DRRO, Annex 1, point 3.06).

As the introduction/removal of restricted transferability provisions 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. The message is therefore processed by SER immediately:

Shares with restricted transferability	
Issuer ID	20279
ISIN	<input type="text"/> 
Security description	<input type="text"/>
Security symbol	<input type="text"/>
SIX Exchange Regulation only	No
Name of issuer	ABB Ltd.
Swiss security number	<input type="text"/>
Security category	<input type="text"/>
Event type	New
<div>Information re Regulator</div>	
Type of notification	Definitive
1.1 Is there a percentage clause?	<input type="text"/>
1.2 If yes, how high is the percentage threshold?	<input type="text"/>
1.3 Do all or only some classes of security form the decisive basis for calculation?	<input type="text"/>
1.4 If all classes of security are determinant, is the total number of outstanding shares or voting rights or capital the basis for the calculation of the percentual threshold?	<input type="text"/>
1.5 Is the capital recorded in the commercial register determinant for the calculation?	<input type="text"/>
1.6 If not: which (more up to date) reference value is taken for calculating the concrete number of registered shares?	<input type="text"/>
1.7 Is there an association or group clause?	<input type="text"/>
1.8 Is there a possibility of granting exemptions from the registration restrictions?	<input type="text"/>

1.9 Are there special exemption provisions for special investors such as mutual funds, institutional investors, etc. ?	<input type="text"/>
2.1 Is there a foreigners' clause?	<input type="text"/>
2.2 Are individuals considered as foreigners - if they are Swiss citizens domiciled abroad?	<input type="text"/>
2.3 Are individuals considered as foreigners, if they are foreign nationals with domicile in Switzerland?	<input type="text"/>
2.4 Are corporate bodies considered as foreigners - if they are dominated by Swiss nationals and domiciled abroad?	<input type="text"/>
2.5 Are corporate bodies considered as foreigners, if they are domiciled in Switzerland and dominated by foreigners?	<input type="text"/>
2.6 Is the foreigners' clause generally applicable, or is there a quota?	<input type="text"/>
2.7 If there is a quota, what is the maximum percentage threshold?	<input type="text"/>
2.8 Threshold (%)	<input type="text"/>
2.9 Is the quota exhausted at the moment?	<input type="text"/>
3.1 Are fiduciary registrations admitted with voting rights?	<input type="text"/>
3.2 Are fiduciary registrations admitted without voting rights?	<input type="text"/>

3.3 Is the model "Nominee SIS" applied?	<input type="text"/>
3.4 Are individual nominee models applied?	<input type="text"/>
Note to SIX Exchange Regulation	<input type="text"/>
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.4. Message types related to financial reporting

7.1.4.1. Change of balance sheet date

This message type is used to provide notification of a new balance sheet date ([DRRO, Annex 1](#), point 1.06).

If, as an exception, the company does not wish to immediately make public the new balance sheet date, a comment to this effect should be entered in the "Note to SIX Exchange Regulation" field. In this case, it must be specified from when the date may be made public (see also section 1.1.1 above):

Change of balance sheet date	
Issuer ID	20279
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
Type of notification	Definitive
New balance sheet date (day)	
New balance sheet date (month)	
Note to SIX Exchange Regulation	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-563992913

7.1.4.2. Change of auditor

If the external auditor changes, please use the message type "Change of auditor" to provide notification of this ([DRRO, Annex 1](#), point 1.05 (1)).

A change of external auditor must be entered in the commercial register, at which point this information becomes public knowledge at latest. If the new auditor is appointed by the GM, this information will be made public when the invitation to the GM is issued.

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). Alternatively, 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	20279
SIX Exchange Regulation only	<input checked="" type="radio"/> Yes <input type="radio"/> No
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
Type of notification	Definitive
Name of the new auditor	
Country	Switzerland
Registration number of Federal Audit	
Detailed explanation for change	
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	
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	
Note to SIX Exchange Regulation	
Contact person	IBCISUER11 IBCISUER11
Telephone (direct)	+41-583992913

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

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

Audit firms that provide audit services under foreign law whose equity securities are listed on a Swiss Stock Exchange are subject to the Auditor Licensing and Supervision Act or “ALSA” (*Bundesgesetz über die Zulassung und Beaufsichtigung der Revisorinnen und Revisoren*). An auditing entity that provides audit services under foreign law for an Issuer without a domicile in Switzerland must therefore meet the ALSA requirements; for example, the auditing entity must be subject to a foreign audit supervisory authority accredited by the Federal Council (see Art. 8 ALSA in conjunction with Art. 10 of the Auditor Licensing and Supervision Ordinance [“ALSO”]). If such an auditing entity (of an Issuer without a domicile in Switzerland) 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 (DRRO, Annex 1, Point 1.05 (2)).

Recognition of the foreign supervisory authority of the foreign auditor for issuers with no domicile in Switzerland	
Issuer ID	19876
Name of issuer	Issuer Test003
Note to SIX Exchange Regulation	<input type="radio"/> Yes <input type="radio"/> No
Event type	New
Information re Regulator	
Name of the foreign auditor	
Name of the foreign supervisory authority	
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="checkbox"/>
Effective date	<input type="text"/>
Note to SIX Exchange Regulation	<div></div>
Contact person	IBCissuer1 IBCissuer1
Telephone (direct)	+41-623118904
Attachments	
Type	Description
No records found	
<input type="button" value="Upload"/>	

7.1.4.4. Financial reports

To submit annual and half-year reports pursuant to [DRRO, Annex 1](#), point 2.01 in the form of a PDF, please use the "Financial reports" message type.

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 1.1.1 above):

Financial reports	
Issuer ID	20279
Name of issuer	ABB Ltd.
SIX Exchange Regulation only	Yes
Event type	New
Information re Regulator	
Type of notification	Definitive
Filing annual report / half-year report	
Date of publication of the report	
Note to SIX Exchange Regulation	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.4.6. Change of business activity

If an issuer changes its business activity such that it is now classified as an investment or real estate company within the meaning of the Directive on Financial Reporting ([Art. 15 f.](#)), it must notify SER of this using the message type "Change of business activity" ([DRRO, Annex 1](#), point 1.09).

As the content of the message and the PDF document that must be submitted is not published by the stock exchange and is 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 1.1.1 above):

Change of business activity	
Issuer ID	20279
Name of issuer	ABB Ltd.
SIX Exchange Regulation only	Yes
Event type	New
Information re Regulator	
Type of notification	Definitive
New business activity	
Explanation of new business activity	
Note to SIX Exchange Regulation	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.1.4.7. Public share buyback program

Issuers with publicly disclosed buyback programmes according to Art. 123 Financial Market Infrastructure Ordinance (FMIO) have to report, if such programm is carried out by an independent securities dealer or a trending 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 FMIO.

If a security dealer is engaged, 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 acts independently. Confidential details can be blanked out with blackings.

Neither the content nor the attachment will be published by the stock exchange.

Public share buyback program

Issuer ID

19876

SIX Exchange Regulation only

☒ Yes
 ☐ No

Name of issuer

Event type

Information re Regulator

Type of notification

Definitive

Does the issuer carry out the share buyback program itself in accordance with the Financial Market Infrastructure Ordinance (FMIO)?

▼

Carry Out By

▼

End of the share buyback program

31

Note to SIX Exchange Regulation

▲

▼

Contact person

IBCissuer1 IBCissuer1

Telephone (direct)

+41-623118904

Attachments

	Type	Description
No records found		

Upload

7.2. Common message types

There are certain message types 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. SIX SIS Ltd then forwards these message types to other market participants (e.g. banks; see also section 1.1.1 above). If you wish 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 (see section 6.3 above):

Home English ibcissuer11@six-group.com

My tasks Create event Recorded events

GM resolutions

Issuer ID: 20279 Name of issuer: ABB Ltd. Event type: New

SIX Exchange Regulation only: ☐ Yes ☒ No

Information re Regulator

7.2.1. Change of name

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

Change of name

Issuer ID: 20279 Name of issuer: ABB Ltd. Issuer agent ID: Issuer agent ID dropdown menu Event type: New

SIX Exchange Regulation only: ☐ Yes ☒ No

Information re Regulator

Type of notification: Definitive

Effective date: Effective date dropdown menu

New name: New name text input

New web address: New web address text input

ISIN change details

☒ ISIN change ☐ Yes ☒ No

Old ISIN: Old ISIN text input

New ISIN: New ISIN text input

Old security number: Old security number text input

New security number: New security number text input

Old security symbol: Old security symbol text input

New security symbol: New security symbol text input

Note to SIX Exchange Regulation: Note to SIX Exchange Regulation text area

Remarks to market: Remarks to market text area

Contact person: IBCISSUER11 IBCISSUER11

Telephone (direct): +41-583992913

If, as a result of a change of name, the ISIN does not change, the message is not forwarded to SIX SIS Ltd.

7.2.2. Notification of dividends

7.2.2.1. Cash dividends

If a dividend is distributed in the form of cash on which withholding tax may be raised, the message type "Cash dividend" must be used ([DRRO, Annex 1](#), point 4.01).

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 one trading day after the GM at the latest (**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. **In all cases, SER must have received notification of the dividend by 10.00 am on the last trading day before the dividend ex date.**

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 6.1.8 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	20279
ISIN	CH.001'222'171'6
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	
Date of GM	
Meeting of the participants (date)	
Ex date	
Payment date	
Coupon number	
Currency	CHF
Gross dividend per equity	
Thereof special dividend (amount)	0.00
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

For details on entering additional information on a voluntary basis under the "Additional information" tab, see section 2 above.

7.2.2.2. Share premium dividend

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

For more information on this, see section 7.2.2.1 above.

Share premium dividend	
Issuer ID	20279
ISIN	CH.001'222'171'6
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	
Date of GM	
Meeting of the participants (date)	
Ex date	
Payment date	
Coupon number	
Currency	CHF
Gross dividend per equity	
Thereof special dividend (amount)	0.00
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.2.2.3. Stock dividend

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

For more information, see section 7.2.2.1 above. See also section 2 for more details on entering additional information on a voluntary basis under the "Additional information" tab:

Stock dividend	
Issuer ID	20279
ISIN	CH.001'222'171'6 JP
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	
Date of GM	
Meeting of the participants (date)	
Ex date	
Payment date	
Coupon number	
Disbursed ISIN	
Description of disbursed ISIN	
Quantity of underlying ISIN to be debited	1
Quantity of disbursed ISIN	
Paid in	
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISUER11 IBCISUER11
Telephone (direct)	+41-583992913

7.2.2.4. Commodity dividend

If the dividend is not to be distributed in the form of cash or stock, the message type "Commodity dividend" must be used. (DRRO, Annex 1, point 4.01). 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 7.2.2.1 above:



Commodity dividend	
Issuer ID	20279
ISIN	CH.001'222'171'6
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	
Date of GM	
Meeting of the participants (date)	
Ex date	
Payment date	
Coupon number	
Currency	CHF
Value of the commodity dividend	
Remarks re commodity dividend	
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.2.3. Messages relating to the GM

7.2.3.1. Date of the next GM

The message type "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 has been set ([DRRO, Annex 1](#), point 3.01). If already known, the venue and the start of the GM has to be entered in the field "Note to SIX Exchange Regulation".

If, as an exception, the company does not wish to immediately make public the date of the next GM, a comment to this effect should be entered in the "Note to SIX Exchange Regulation" field. In this case, it must be specified from when the date of the GM may be made public (see also section 1.1.1 above):

Date of next GM	
Issuer ID	20279
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Event type	New
Information re Regulator	
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	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.2.3.2. Date of close share register

If the company has listed registered shares, 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 "Date of close share register" for this purpose ([DRRO, Annex 1](#), point 3.02):

Date of close share register

Issuer ID

20279

Name of issuer

ABB Ltd.

SIX Exchange Regulation only

☐ Yes
 ☒ No

Event type

New

Information re Regulator

Type of notification

Definitive

Date of GM

ST

Share register closed by (date)

ST

Share register closed by (time)

23:59

Note to SIX Exchange Regulation

^

v

Remarks to market

^

v

Contact person

IBCISSUER11 IBCISSUER11

Telephone (direct)

+41-583992913

7.2.3.3. Invitation to next GM

Issuers must provide SER with invitations to upcoming GMs together with a complete agenda in PDF format ([DRRO, Annex 1](#), point 3.03). Please use the message type "Invitation to next GM" to do so.

When the message is made public, the agenda is also sent to SIX SIS Ltd. If you do not wish this to occur, then click the "Yes" button on the "SIX Exchange Regulation only" label (see also section 1.1.1 above).

New potentially price-sensitive information (such as the election of new members of the Board) are to be made public with an ad hoc notice first, before the message is sent to the market via Connexor Reporting (s. also above section 1.1.1).

For more details on entering additional information on a voluntary basis under the "Additional information" tab, see section 2 above:

Invitation to next GM

Issuer ID

20279

Name of issuer

ABB Ltd.

SIX Exchange Regulation only

☐ Yes
 ☒ No

Event type

New

Information re Regulator

Type of notification

Definitive

Date of GM

31

Meeting of the participants (date)

31

Meeting time

Meeting place

Meeting type

▼

Share register closed by (date)

31

Share register closed by (time)

Note to SIX Exchange Regulation

▲

▼

Remarks to market

▲

▼

Contact person

IBCISSUER11 IBCISSUER11

Telephone (direct)

+41-583992913

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

7.2.3.4. GM resolutions

The issuer must notify SER of the results of the GM in the form of a list of resolutions in PDF format ([DRRO](#), [Annex 1](#), point 3.04). Please use the message type "GM resolutions" to do so.

When the message is made public, the GM resolutions are also sent to SIX SIS Ltd. If you do not wish this to occur, then click the "Yes" button on the "SIX Exchange Regulation only" label (see also section 1.1.1 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 2 above:

GM resolutions

Issuer ID

20279

Name of issuer

ABB Ltd.

SIX Exchange Regulation only

☐ Yes
 ☒ No

Event type

New

Information re Regulator

Type of notification

Definitive

Date of GM

ST

Note to SIX Exchange Regulation

Remarks to market

Contact person

IBCISSUER11 IBCISSUER11

Telephone (direct)

+41-583992913

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".

Upload

7.2.4. Messages regarding capital decreases

7.2.4.1. Capital decrease by repayment of nominal value





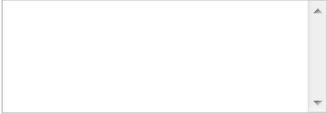

For a capital decrease by repayment of nominal value, the message type "capital decrease by repayment of nominal value" must be selected ([DRRO, Annex 1](#), point 5.04):

Capital decrease by repayment of nominal value	
Issuer ID	20279
ISIN	CH.001'222'171'6 
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	Definitive
Ex date (Date of exchange adjustment)	
Payment date	
Replacement for ordinary dividends	<input type="radio"/> Yes <input type="radio"/> No
Coupon number	
Currency	CHF 
Gross amount payable per equity	
Previous nominal value	1.03
New nominal value	
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-583992913

7.2.4.2. Capital decrease by declarative reduction

The message type "Capital decrease by declarative reduction" is used in the event of a capital decrease to eliminate a capital deficiency pursuant to Art. 735 of the Swiss Code of Obligations ([DRRO, Annex 1](#), point 5.04):

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	20279
ISIN	CH.0012221716 
Security description	ABB LTD N
Security symbol	ABBN
SIX Exchange Regulation only	<input type="radio"/> Yes <input checked="" type="radio"/> No
Name of issuer	ABB Ltd.
Swiss security number	1222171
Security category	Registered shares
Issuer agent ID	
Event type	New
Information re Regulator	
Type of notification	Definitive
Ex date (Date of exchange adjustment)	
Currency	CHF 
Previous nominal value	1.03
New nominal value	
Note to SIX Exchange Regulation	
Remarks to market	
Contact person	IBCISSUER11 IBCISSUER11
Telephone (direct)	+41-563982913

If shares are destroyed as part of a declarative capital decrease, notification must be given to SER using the message type "Capital decrease by destruction of shares" (see section 7.1.1.2 above).

8. Contacts

You can contact the Listing reporting requirements team (SER) as follows:

- Telephone: +41 58 399 3030
- E-mail: reporting-obligations@six-group.com

9. Abbreviations / Definitions

Two-eye principle	The user is authorized to enter a message and send it directly to SER and, where applicable, other recipients.
Four-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 deadline pursuant to DRRO, Annex 1 has passed, this is only possible on a restricted basis. In this case, the issuer must contact SER by telephone immediately.
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 DRRO, Annex 1 has passed, this is only possible on a restricted basis. In this case, the issuer must contact SER by telephone immediately.
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 for Issuers of Equity Securities, Directive Regular Reporting Obligations of 14 March 2014.
SER	SIX Exchange Regulation AG
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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