

Communiqué No. 4/2021
of 1 September 2021

We focus on security – for your ad hoc announcements

As of 1 October 2021, SIX Exchange Regulation AG (**SER**) will introduce CONNEXOR® Reporting, a secure solution designed to increase confidentiality of the transmission of your ad hoc announcements.

In Communiqué No. 5/2021, issued on 18 August 2021, the Regulatory Board announced that all issuers of primary-listed equity securities must use the online platform CONNEXOR® Reporting to transmit their ad hoc announcements to SER. With this application-based solution, SER is substantially increasing the security of transmissions of ad hoc announcements. By using the latest security standards, CONNEXOR® Reporting ensures the highest possible level of confidentiality and meets the increasingly stringent security requirements.

Scope

Issuers of primary-listed equity securities will have to *exclusively* use the online platform CONNEXOR® Reporting for the transmission of their ad hoc announcements to SER. SER does not publish ad hoc announcements for issuers. If CONNEXOR® Reporting is unavailable for technical reasons, the issuer may exceptionally transmit ad hoc announcements to SER by e-mail.

The amendment relates exclusively to the transmission of ad hoc announcements to SER. The distribution of ad hoc announcements must continue to comply with the provisions of Art. 7 et seqq. Directive on Ad hoc Publicity (DAH). The introduction of CONNEXOR® Reporting for ad hoc announcements will have no impact on the applicable practice and the obligation to distribute ad hoc announcements to all addressees simultaneously (Art. 10 para. 2 DAH).

Issuers of derivatives, bonds, conversion rights, collective investment schemes and secondary-listed equity securities can continue to submit ad hoc announcements to SER by e-mail.

Transition period until the end of 2021

You will be able to access CONNEXOR® Reporting for the transmission of ad hoc announcements as of 1 October 2021. Issuers of primary-listed equity securities are granted a transitional period until 31 December 2021 to register new users and adjust their internal requirements and processes. During this period, issuers may continue to transmit ad hoc announcements to SER

by e-mail. Please note that the verification of the registration and the activation of the account may take up to a few days.

As of 1 January 2022, all issuers of primary-listed equity securities will be obliged to use CONNEXOR® Reporting. Thereby SER is able to offer the highest standards of quality in terms of data security and integrity in transmissions.

User registration

In the context of the implementation of Art. 12a DAH, the permission for the transmission of ad hoc announcement has been introduced in CONNEXOR® Reporting (the so called “ad hoc role”). The ad hoc role is independent and separate from the already existing permission for the fulfilment of the regular reporting obligations. Accordingly, all future user of the ad hoc role have to register.

User registration will take place in two phases:

- (1) **Existing users** who already have access to CONNEXOR® Reporting for the purposes of fulfilling regular reporting obligations can also be additionally assigned with the ad hoc role by the contact person for ad hoc publicity registered at SER. SER will reach out to the contact persons for ad hoc publicity via e-mail within the next few days. The new permission will be available simultaneously to the launch of CONNEXOR® Reporting for transmission of ad hoc announcements on 1 October 2021.

- (2) **New users** of CONNEXOR® Reporting will be able to register for the ad hoc role as of 1 October 2021. A link to the registration page and instructions on how to register for and use CONNEXOR® Reporting will be made available soon.

More information to follow soon

We will provide you with additional and more detailed information on how to register for and to use CONNEXOR® Reporting soon. Until then, you can find all the available information on CONNEXOR® Reporting at ser-ag.com/connexor.