

Directive on Regular Reporting Obligations for Issuers of Equity Securities, Bonds, Conversion Rights, Derivatives and Collective Investment Schemes

(Directive Regular Reporting Obligations, DRRO)

Dated 7 December 2018

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Basis Art. 3 para. 9, Art. 6 and 55 LR and Art. 21 Directive Foreign Companies

I General provisions

Art. 1 Object

¹ This Directive governs the content and form of regular reporting obligations in connection with maintaining listing, and the details of how these obligations are to be fulfilled. It does not cover the regular reporting obligations associated with exchange traded products (ETP). These latter obligations are laid down in the Additional Rules for the Listing of Exchange Traded Products.

² If a reportable fact with regard to bonds and/or conversion rights, or derivatives (Annexes 2 and 3) must be published as a "Publication in accordance with conditions", then the details of publication are governed by the terms and conditions disclosed in the corresponding listing prospectus.

Art. 2 Reportable facts

The Annexes contain the following information on the individual regular reporting obligations:

1. content of obligation;
2. timing of report;
3. type of submission;
4. any enclosures that must be submitted;
5. whether or not the report will be published by SIX Swiss Exchange Ltd («SIX Swiss Exchange»).

Art. 3 Recipients of reportable facts

The issuer must transmit the reportable facts to SIX Exchange Regulation AG ("SIX Exchange Regulation").

II Form and content of reports

Art. 4 Form in which the reportable facts are to be transmitted

¹ In transmitting reportable facts pursuant to Annex 1 an issuer of equity securities with a primary or main listing on the Exchange must use the Connexor Reporting electronic reporting platform ("Connexor Reporting"). If, exceptionally, Connexor Reporting is unavailable for technical reasons, the issuer must use the means listed in para. 2 below to transmit the reportable facts.

² The issuer must transmit the reportable facts pursuant to Annexes 2 and 4-6 (bonds, conversion rights, collective investment schemes and secondary-listed equity securities) by e-mail. The issuer must use on-line forms to transmit certain reportable facts.

³ The issuer must use e-mail or Connexor Events to transmit the reportable facts listed in Annex 3 (derivatives).

See also

- [Online forms](#)
- [Access page for Connexor Reporting](#)
- [Access page for Connexor Events](#)

Art. 5 Mandatory information

¹ Each report must contain the following information:

1. name of the issuer;
2. identity of the person submitting the report (incl. telephone number and e-mail address for any enquiries);
3. description of the reporting obligation in question.

² The relevant Annex (including the relevant point) must be stated explicitly in reports transmitted in fulfilment of the regular reporting obligations set out in Annexes 2 to 6 (bonds, conversion rights, derivatives, collective investment schemes and secondary-listed equity securities).

Art. 6 Official Notice

¹ If the Annexes provide for information on a reportable fact to be disseminated by means of an "Official Notice", the issuer must transmit the text of the "Official Notice" to SIX Exchange Regulation electronically at the earliest possible date but, providing no differing regulation applies, *no later than 10.00 am on the last trading day prior to the desired date of publication. The issuer must notify the desired date of publication to SIX Exchange Regulation.*

² The "Official Notice" must contain the mandatory information required for the reportable fact in question, as listed in the corresponding Annexes.

³ The issuer must transmit the "Official Notice" to SIX Exchange Regulation as an unformatted text document (i.e. as a Notepad document or similar).

⁴ In the case of reports transmitted to SIX Exchange Regulation using Connexor Reporting, pursuant to Art. 4 para. 1 DRRO, or using Connexor Events, pursuant to Art. 4 para. 3 DRRO, the "Official Notice" will be generated automatically by SIX Exchange Regulation once the report has been processed. The same applies to cases in which an Excel file may be submitted instead of an "Official Notice".

⁵ SIX Exchange Regulation will make no changes to the content of an "Official Notice" that it disseminates. The issuer bears sole responsibility for the content of the notice.

⁶ Alternatively, the "Official Notice" will be published via:

1. the "Newsboard" of the SIX Swiss Exchange Trading System (for Exchange participants);
2. e-mails to interested recipients;
3. Internet (http://www.six-swiss-exchange.com/news/official_notices/search_en.html) as an "Official Notice".

Art. 7 Confidentiality

¹ Reportable facts which, at the time of their transmission to SIX Exchange Regulation, are still to be treated confidentially, or for which publication is to be deferred, must be clearly and obviously designated as such in the report ("Confidential"/"Publication only after consultation", or similar). In this case, the date and time as of which the temporarily confidential information may be passed on to the market must be given. In the absence of the aforementioned, SIX Exchange Regulation cannot ensure the confidential treatment of the report.

² When transmitting a reportable fact via Connexor Reporting, in the case of facts which are to be published openly or also sent to third parties in addition to SIX Exchange Regulation, the issuer may send the report to SIX Exchange Regulation on a confidential basis in advance, using the dedicated Connexor Reporting function. Paragraph 1 applies mutatis mutandis.

III Responsibility

Art. 8 Responsibility

¹ The issuer must report the reportable fact. It may decide at its own discretion whether to fulfil its reporting obligations itself, or to instruct a third party to do so.

² In either case, the issuer is responsible for the proper fulfilment of its obligations.

IV Regular reporting obligations

Art. 9 Regular reporting obligations for issuers of equity securities with their primary or main listing with the SIX Swiss Exchange

Issuers of equity securities which have their primary or main listing with the SIX Swiss Exchange pursuant to Art. 120 para. 1 of the Financial Market Infrastructure Act, as well as to Art. 115 para. 3 of the Financial Market Infrastructure Ordinance, must fulfil the following regular reporting obligations in connection with maintaining listing (cf. Annex 1):

1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the issuer;
 - 1.02 Change of address of registered office/place of primary management;
 - 1.03 Change of address for the delivery of legally relevant documents;
 - 1.04 Change of invoice address;
 - 1.05 External auditors:
 - 1.05 (1) Change of external auditors;
 - 1.05 (2) For issuers with no domicile in Switzerland: Discontinuance of supervision of their auditors by a foreign oversight audit authority recognised by the Federal Council (Art. 8 para. 2 of the Audit Oversight Act in conjunction with Art. 10 of the Audit Oversight Ordinance).
 - 1.06 Change of balance sheet date (close of financial year);
 - 1.07 Changes to contact persons:
 - 1.07 (1) Chairman of the Board of Directors;
 - 1.07 (2) Chief Executive Officer;
 - 1.07 (3) Chief Financial Officer;
 - 1.07 (4) Head of Investor Relations;
 - 1.07 (5) Contact person for the disclosure of potentially price-sensitive information (pursuant to the Directive on Ad hoc Publicity);
 - 1.07 (6) Contact person for regular reporting obligations in accordance with this Directive.
 - 1.08 Changes to the following weblinks (URLs):
 - 1.08 (1) Issuer's general website;
 - 1.08 (2) Registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity);
 - 1.08 (3) Directory of ad hoc notices (pull system pursuant to Art. 9 Directive Ad hoc Publicity);
 - 1.08 (4) Corporate calendar;
 - 1.08 (5) Directory of financial statements (annual and semiannual reports).
 - 1.09 Change of business activity (investment or real estate company);
 - 1.10 Change of investment policy/compensation model for investment and real estate companies, pursuant to Art. 76 para. 1 and Art. 84 para. 1 LR.

- 1.11 Issuers with publicly announced buyback programmes pursuant to Art. 123 of the Financial Market Infrastructure Ordinance: report stating whether an independent securities dealer or a trading unit (if the issuer itself is a securities dealer) that is segregated with information barriers has been commissioned to undertake the buyback programme (Art. 124 para. 2 lit. a and b Financial Market Infrastructure Ordinance).
- 2. Regular reporting obligations in connection with financial reporting:
 - 2.01 Submission of financial statements:
 - 2.01 (1) Annual report;
 - 2.01 (2) Semi-annual report.
 - 2.02 Quarterly financial statements pursuant to the Directive on Exemptions regarding Duration of Existence of the Issuer (Directive Track Record)
 - 2.03 Report on opting in pursuant to Art. 9 para. 1 Directive Corporate Governance (sustainability reporting).
- 3. Regular reporting obligations in connection with the general meeting of shareholders (GMS):
 - 3.01 Date of GMS;
 - 3.02 Issuers with listed registered shares: Date of closure of share register;
 - 3.03 Invitation to GMS;
 - 3.04 Resolutions of the GMS;
 - 3.05 Resolution on opting out/opting up pursuant to Art. 125 para. 3 and Art. 135 para. 1 of the Financial Market Infrastructure Act;
 - 3.06 For issuers with listed registered shares and their registered office in Switzerland: Resolution on restrictions on transferability, pursuant to Art. 685d ff. of the Swiss Code of Obligations.
- 4. Regular reporting obligations in connection with dividends:
 - 4.01 Dividend report.
- 5. Regular reporting obligations in connection with the capital structure:
 - 5.01 Creation/cancellation of conditional or authorised capital;
 - 5.02 Reporting of conditional capital;
 - 5.03 Entry in the Commercial Register of newly created securities from conditional capital;
 - 5.04 Capital reduction (ordinary capital reduction; capital reduction with simultaneous capital increase, or declarative capital reduction);
 - 5.05 For issuers with no domicile in Switzerland: The current total of issued equity securities, and the associated voting rights pursuant to Art. 115 para. 3 of the Financial Market Infrastructure Ordinance.

Art. 10 Regular reporting obligations for issuers of bonds and/or conversion rights

Issuers of listed bonds and/or conversion rights must fulfil the following regular reporting obligations in connection with maintaining listing (cf. Annex 2):

- 1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the issuer;
 - 1.02 Change of address of registered office/place of primary management;
 - 1.03 Auditors:
 - 1.03 (1) Change of external auditors;
 - 1.03 (2) For issuers with no domicile in Switzerland: Discontinuance of supervision of their auditors by a foreign oversight audit authority recognised by the Federal Council (Art. 8 para. 2 of the Audit Oversight Act in conjunction with Art. 10 of the Audit Oversight Ordinance).
 - 1.04 Change of financial accounting standard;
 - 1.05 URL of published annual report.

2. Regular reporting obligations concerning information on the securities – Bonds:
 - 2.01 Amortisations;
 - 2.02 Early redemption;
 - 2.03 Increases;
 - 2.04 Floating-rate bonds: new interest rate;
 - 2.05 Change in interest customs;
 - 2.06 Reorganisation, restructuring, facts pertaining to flat trading, information requirements in the case of non-performing bonds;
 - 2.07 Change of borrower (change of issuer/guarantor);
 - 2.08 Change of paying agent/exercise agent;
 - 2.09 Invitation to general meeting of bondholders;
 - 2.10 Resolutions of general meeting of bondholders;
 - 2.11 Bankruptcy, composition, or other insolvency and liquidation proceedings.
3. Regular reporting obligations concerning information on the securities – Conversion rights:
 - 3.01 Exercise of conversion rights;
 - 3.02 Capital events affecting the underlying security: adjustment of conversion price or conversion terms;
 - 3.03 Non-exercised conversion rights upon expiry of the conversion period.

Art. 11 Regular reporting obligations for issuers of derivatives

Issuers of listed derivatives must fulfil the following regular reporting obligations in connection with maintaining listing: (cf. Annex 3):

1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the issuer;
 - 1.02 Change of address of registered office/place of primary management;
 - 1.03 Loss of required permit granted by relevant supervisory authority;
 - 1.04 Change of financial accounting standard;
 - 1.05 URL of published annual report.
2. Regular reporting obligations concerning information on the securities:
 - 2.01 Adjustments to the terms and conditions of the securities, e.g. with regard to the strike price or subscription ratio;
 - 2.02 Increase or reduction in number of securities;
 - 2.03 Achievement of threshold values that might affect the price or valuation of the derivative (e.g. in the case of barrier options);
 - 2.04 Determination during duration of the derivative of a price parameter relevant to its valuation/payment (e.g. fixing of a new coupon rate for derivatives with interest payment);
 - 2.05 Temporary interruption or permanent cessation of regular price determination for the underlying instrument (owing to trading suspensions, delisting of underlying instrument, or similar events);
 - 2.06 Exchange of underlying instrument (e.g. owing to capital events affecting the underlying, such as restructuring measures or similar);
 - 2.07 Early termination by issuer (where provided for in the terms and conditions);
 - 2.08 Changes regarding the issuer of the derivatives that might affect the price or valuation of the derivative (e.g. insolvency, bankruptcy or similar);
 - 2.09 Change of borrower (change of issuer/creditor);
 - 2.10 Change of paying agent/exercise agent.

Art. 12 Regular reporting obligations for issuers of collective investment schemes with a contractual basis

Issuers of collective investment schemes with a contractual basis must fulfil the following regular reporting obligations in connection with maintaining listing (cf. Annex 4):

1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the fund management, the issuer, the collective investment scheme or the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act (collective investment schemes not domiciled in Switzerland);
 - 1.02 Transfer of the registered office of the fund management;
 - 1.03 Change of address for the delivery of legally relevant documents;
 - 1.04 Change of invoice address;
 - 1.05 Change of fund management;
 - 1.06 Changes to contact persons:
 - 1.06 (1) Contact person at the fund management (collective investment scheme domiciled in Switzerland) or at the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act (collective investment scheme not domiciled in Switzerland);
 - 1.06 (2) Contact person for the disclosure of potentially price-sensitive information, if the issuer is subject to the provisions of the Directive on Ad hoc Publicity;
 - 1.06 (3) Contact person for regular reporting obligations in accordance with this Directive.
 - 1.07 Changes to the following weblinks (URLs):
 - 1.07 (1) The collective investment scheme's general website;
 - 1.07 (2) Prospectuses;
 - 1.07 (3) Directory of financial statements.

If the issuer is subject to the provisions of the Directive on Ad hoc Publicity:

 - 1.07 (4) The registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity);
 - 1.07 (5) Directory of disclosures on price-sensitive information (pull system pursuant to Art. 9 Directive Ad hoc Publicity).
2. Regular reporting obligations in connection with units:
 - 2.01 Repealed;
 - 2.02 Repealed;
 - 2.03 Distribution;
 - 2.04 Change in the currency of the underlying;
 - 2.05 Deferred redemption pursuant to Art. 81 of the Collective Investment Schemes Act;
 - 2.06 For real estate funds: redemption of units by the issuer.

Art. 13 Regular reporting obligations for issuers of collective investment schemes based on company law

Issuers of collective investment schemes based on company law must fulfil the following regular reporting obligations in connection with maintaining listing (cf. Annex 5):

1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the issuer or of the name of collective investment scheme;
 - 1.02 Change of address of registered office/place of primary management;
 - 1.03 Change of address for the delivery of legally relevant documents;
 - 1.04 Change of invoice address;

- 1.05 Changes to contact persons:
 - 1.05 (1) Chairman of the Board of Directors;
 - 1.05 (2) Chief Executive Officer;
 - 1.05 (3) Chief Financial Officer;
 - 1.05 (4) Head of Investor Relations;
 - 1.05 (5) Contact person for the disclosure of potentially price-sensitive information, if the issuer is subject to the provisions of the Directive on Ad hoc Publicity;
 - 1.05 (6) Contact person for regular reporting obligations in accordance with this Directive;
- Additionally for issuers with no registered office in Switzerland:
 - 1.05 (7) Contact person at the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act.
- 1.06 Changes to the following weblinks (URLs):
 - 1.06 (1) Issuer's general website;
 - 1.06 (2) Corporate calendar;
 - 1.06 (3) Directory of financial statements.

If the issuer is subject to the provisions of the Directive on Ad hoc Publicity:

 - 1.06 (4) Registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity);
 - 1.06 (5) Directory of disclosures on price-sensitive information (pull system pursuant to Art. 9 Directive Ad hoc Publicity).
- 2. Regular reporting obligations in connection with units:
 - 2.01 Repealed;
 - 2.02 Repealed;
 - 2.03 Dividend report;
 - 2.04 Change in the currency of the underlying;
 - 2.05 For real estate funds: redemption of units by the issuer.
- 3. Regular reporting obligations in connection with the general meeting of shareholders (GMS):
 - 3.01 Date of GMS;
 - 3.02 Invitation to GMS;
 - 3.03 Resolutions of the GMS.

Art. 14 Regular reporting obligations for issuers of secondary-listed equity securities

Issuers of secondary-listed equity securities must fulfil the following regular reporting obligations in connection with maintaining listing (cf. Annex 6):

- 1. Regular reporting obligations concerning information on the issuer:
 - 1.01 Change of name of the issuer;
 - 1.02 Change of address of registered office/place of primary management;
 - 1.03 Change of address for the delivery of legally relevant documents;
 - 1.04 Change of external auditors;
 - 1.05 Changes to contact persons:
 - 1.05 (1) Contact person for the disclosure of potentially price-sensitive information;
 - 1.05 (2) Contact person for regular reporting obligations in accordance with this Directive;
 - 1.05 (3) Recognised representation in Switzerland, if any.
 - 1.06 Submission of disclosures of potentially price-sensitive information pursuant to Art. 21 para. 2 Directive Foreign Companies;

- 1.07 Confirmation from the primary exchange of the number of listed equity securities;
- 1.08 Information in accordance with the form for the annual data collection survey pursuant to Art. 20 Directive Foreign Companies.
- 2. Regular reporting obligations in connection with dividends:
 - 2.01 Dividend report.
- 3. Regular reporting obligations in connection with the capital structure:
 - 3.01 Capital increase concerning listed equity securities;
 - 3.02 Splits concerning listed equity securities (e.g. share splits);
 - 3.03 Capital reduction concerning listed equity securities.
- 4. Regular reporting obligations in connection with the restructuring of the issuer:
 - 4.01 Restructuring:
 - 4.01 (1) Merger;
 - 4.02 (2) Spin-off.

V Authorities

Art. 15 Delegation

The Issuers Committee delegates authority to amend the details of the fulfilment of the regular reporting obligations set out in the Annexes to this Directive to SIX Exchange Regulation.

VI Final provisions

Art. 16 Entry into force

The Directive enters into force on 1 December 2014.

Art. 17 Revisions

¹ The revision of Annex 3, Point 2.02, Point 2.03 and Point 2.07, decreed by the resolution of 19 November 2014, enters into force on 1 July 2015.

² Amendments due to the entry into force of the Financial Market Infrastructure Act and related ordinances in Art. 9 and Annex 1 as of 1 April 2016.

³ Amendment to Art. 2 owing to the merger by absorption of SIX Structured Products Exchange Ltd by SIX Swiss Exchange Ltd effective 2 May 2017.

⁴ The revision of Art. 9, 12 and 13, Annex 1 Point 1.07, Point 1.11 (new) and Point 2.03 (new), Annex 4 Point 1.06, Point 2.01 (repealed), Point 2.02 (repealed) and Point 2.06 (new), Annex 5 Point 1.05, Point 2.01 (repealed), Point 2.02 (repealed), Point 2.05 (new) and Annex 6 Point 1.05 decreed by the resolution of 1 December 2016 enters into force on 1 July 2017.

⁵ The revision of Art. 3 that was decreed by the Issuers Committee in its resolution dated 20 March 2018 enters into force on 1 May 2018.

⁶ The revision of Art. 9 and 10, Annex 1 Clause 1.05 (2) (new) and Annex 2 Clause 1.03 (2) (new) dated 20 March 2018 enters into force on 1 July 2018.

⁷ The revision of Art. 14 para. 1 Clause 1.05 (3) and Annex 6 Clause 1.05 (3) dated 7 December 2018 enters into force on 2 May 2019.

Annex 1 – Equity Securities

Regular Reporting Obligations regarding the Maintenance of Listing – Equity Securities with their Primary or Main Listing on the Exchange

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1	Regular reporting obligations concerning information on the issuer				
1.01	Change of name of the issuer (Change of company name).	Within 5 trading days following entry in the Commercial Register, but in any case no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Name old/new; – Web address old/new; – Ticker symbol old/new; – Security no. and ISIN old/new; – Date of the exchange modification. <p>Enclosures:</p> <ul style="list-style-type: none"> – Extract from the Commercial Register as PDF; – Articles of association as PDF. 	Connexor Reporting electronic reporting platform.	Yes.
1.02	Change of address of registered office/place of primary management.	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address. <p>Enclosure:</p> <p>Extract from the Commercial Register as PDF.</p>	Connexor Reporting electronic reporting platform.	-
1.03	Change of address for the delivery of legally relevant documents.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address; – Language for correspondence. 	Connexor Reporting electronic reporting platform.	-
1.04	Change of invoice address.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box. 	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.05	<p>External auditors:</p> <ul style="list-style-type: none"> – 1.05 (1): Change of external auditors – 1.05 (2): Discontinuance of supervision of their auditors by a foreign oversight audit authority recognised by the Federal Council (Art. 8 para. 2 of the Audit Oversight Act in conjunction with Art. 10 of the Audit Oversight Ordinance). 	<ul style="list-style-type: none"> – 1.05 (1): Within 5 trading days following entry in the Commercial Register. – 1.05 (2): Immediately upon occurrence. 	<p>1.05 (1):</p> <ul style="list-style-type: none"> – Name; – Country of domicile; – Register number of the competent audit oversight authority; – Reason for the change (incl. comments on whether the auditors resigned and whether there were any unresolved differences of opinion between issuer and auditors at the time of the change). <p>Enclosure: Extract from the Commercial Register as PDF.</p> <p>1.05 (2):</p> <ul style="list-style-type: none"> – Name (company) of their foreign auditors; name of the foreign audit oversight authority; effective date of the discontinuance/re-introduction of oversight of the auditors by a foreign audit oversight authority recognised by the Federal Council. 	Connexor Reporting electronic reporting platform.	-
1.06	Change of balance sheet date (close of financial year).	Immediately upon occurrence.	Statement of the old and new balance sheet date.	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.07	<p>Changes to contact persons:</p> <ul style="list-style-type: none"> – 1.07 (1) Chairman of the Board of Directors; – 1.07 (2) Chief Executive Officer; – 1.07 (3) Chief Financial Officer; – 1.07 (4) Head of Investor Relations; – Contact person for the disclosure of potentially price-sensitive information (pursuant to the Directive on Ad hoc Publicity); – 1.07 (6) Contact person for regular reporting obligations in accordance with this Directive. 	Immediately upon occurrence.	<ul style="list-style-type: none"> – Last name, first name; – Address for correspondence; – Direct telephone number, direct fax number; – Direct e-mail address; – Team e-mail address; – Language for correspondence. <p>Additionally for the contact persons for:</p> <ul style="list-style-type: none"> – the disclosure of potentially price-sensitive information and – regular reporting obligations: mobile phone number. 	Connexor Reporting electronic reporting platform.	-
1.08	<p>Changes to the following weblinks (URLs):</p> <ul style="list-style-type: none"> – 1.08 (1) Issuer's general website; – 1.08 (2) Registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity); – Directory of ad hoc notices (pull system pursuant to Art. 9 Directive Ad hoc Publicity); – 1.08 (4) Corporate calendar; – 1.08 (5) Directory of financial statements (annual and semi-annual reports). 	Immediately upon occurrence.	Weblink.	Connexor Reporting electronic reporting platform.	-
1.09	Change of business activity (investment or real estate company).	Upon change.	Description of new business activity: the company is now an investment or real estate company pursuant to the Listing Rules.	Connexor Reporting electronic reporting platform.	-
1.10	Change of investment policy/compensation model for investment and real estate companies, pursuant to Art. 76 para. 1 and Art. 84 para. 1 LR.	No later than 5 trading days following the resolution of the competent body within the company.	Document setting out the new investment policy/the new compensation model as PDF.	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.11	Issuers with publicly announced buyback programmes pursuant to Art. 123 of the Financial Market Infrastructure Ordinance: report stating whether an independent securities dealer or a trading unit (if the issuer itself is a securities dealer) that is segregated with information barriers has been commissioned to undertake the buyback programme (Art. 124 para. 2 lit. a and b Financial Market Infrastructure Ordinance).	Immediately upon occurrence.	Where an independent securities dealer has been commissioned: Enclosure: Extract from the contract as PDF.	Connexor Reporting electronic reporting platform.	-
2	Regular reporting obligations in connection with financial reporting				
2.01	Submission of financial statements: – 2.01 (1) Annual report; – 2.01 (2) Semi-annual report.	Upon publication of the report, but in any case within the following deadlines: – Annual report: 4 months following the closing date for the financial year (balance sheet date); – Interim (semi-annual) report: 3 months following the balance sheet date.	Report as PDF.	Connexor Reporting electronic reporting platform.	-
2.02	Quarterly financial statements pursuant to the Directive on Exemptions regarding Duration of Existence of the Issuer (Directive Track Record (DTR)).	Upon publication, but no later than 2 months following the balance sheet date. The submission deadlines for financial statements set out in Point 2.01 of this Annex apply if the interim (semi-annual) or annual report is submitted instead of the second or fourth quarterly statement.	Form of submission: – Paper form; – If the annual or interim (semi-annual) report is submitted instead of the second or fourth quarterly statement, then the statement must be submitted as a PDF file.	Submissions must be made by post. If the annual or interim (semi-annual) report is submitted instead of the second or fourth quarterly statement, then the submission must be made via the Connexor Reporting electronic reporting platform.	-
2.03	Report on opting in pursuant to Art. 9 para. 1 Directive Corporate Governance (sustainability reporting).	Upon occurrence.	– Indication of the internationally recognised standard applied; – Reporting interval; – Weblink.	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
3	Regular reporting obligations in connection with the general meeting of shareholders (GMS)				
3.01	Date of GMS.	As soon as determined.	<ul style="list-style-type: none"> - Date; - Venue of GMS; - Start of GMS. 	Connexor Reporting electronic reporting platform.	-
3.02	Issuers with listed registered shares: Date of closure of share register.	As soon as determined.	<ul style="list-style-type: none"> - Date; - Exact time of closure. 	Connexor Reporting electronic reporting platform.	-
3.03	Invitation to GMS.	No later than 20 calendar days prior to the GMS.	Enclosure: Agenda as PDF, or media release with the same content, as PDF.	Connexor Reporting electronic reporting platform.	-
3.04	Resolutions of the GMS.	No later than 1 trading day following GMS.	Enclosure: Resolutions as per the agenda as PDF, or media release with the same content, as PDF.	Connexor Reporting electronic reporting platform.	-
3.05	Resolution on opting out/opting up pursuant to Art. 125 para. 3 and Art. 135 para. 1 of the Financial Market Infrastructure Act.	Within 5 trading days following the GMS.	Description of the special clauses in the articles of association pursuant to Art. 125 and Art. 135 of the Financial Market Infrastructure Act. Enclosure: Articles of association as PDF.	Connexor Reporting electronic reporting platform.	-
3.06	For issuers with listed registered shares and domiciled in Switzerland: Resolution on restrictions on transferability, pursuant to Art. 685d ff. of the Swiss Code of Obligations.	Within 5 trading days following entry in the Commercial Register.	Description of the restrictions on transferability. Enclosure: Articles of association as PDF.	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
4	Regular reporting obligations in connection with dividends				
4.01	Dividend report.	As soon as determined. Preliminary (indicative) report: In any case no later than 20 calendar days prior to the GMS. Final report: One trading day following the GMS, but in any case no later than 10.00 am on the last trading day prior to the date of ex-dividend trading.	<ul style="list-style-type: none"> – Date of ex-dividend trading (ex date); – Date on which dividends are paid out (pay date); – Category of securities; – Security no., ISIN; – Gross amount payable per equity security; – Coupon no.; – Any further details. <p>Additionally in the case of stock dividends:</p> <ul style="list-style-type: none"> – Information on whether the issuer's own existing equity securities are to be used, or new equity securities created as part of a capital increase; – ISIN of the equity securities that are to be distributed; – Subscription ratio between the equity securities that are held and those which are to be distributed. <p>Additionally in the case of commodity dividends: Object of the commodity dividend.</p>	Connexor Reporting electronic reporting platform.	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
5	Regular reporting obligations in connection with the capital structure				
5.01	Creation/cancellation of conditional or authorised capital.	Within 5 trading days following entry/cancellation in the Commercial Register. Creation of conditional capital: 15 trading days following the GMS.	Enclosures: Articles of association as PDF; in the case of an increase in authorised capital: additionally, extract from the Commercial Register as PDF.	Connexor Reporting electronic reporting platform.	-
5.02	Reporting of conditional capital.	Monthly report from the time at which the conditional capital is formally listed; prepared on the first trading day of the following month. The issuer may submit a written application for exemption from this provision if no options or conversion rights will be exercised for a long period. The exemption applies for a maximum of one year.	<ul style="list-style-type: none"> - Category of securities; - Security no., ISIN; - Purpose (pursuant to articles of association); - Term of warrant or convertible bonds; - Number of outstanding securities; - Number of exercised securities; - Remaining conditional capital. 	Connexor Reporting electronic reporting platform.	-
5.03	Commercial Register entry of newly created securities from conditional capital.	Within 5 trading days following entry in the Commercial Register.	Enclosure: Extract from the Commercial Register as PDF.	Connexor Reporting electronic reporting platform.	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
5.04	Capital reduction (ordinary capital reduction; capital reduction with simultaneous capital increase, or declarative capital reduction).	<p>Within 5 trading days following the entry of the capital reduction in the Commercial Register, but in any case no later than 10.00 am on the last trading day prior to the date of exchange modification. No more than 10 trading days may elapse between the entry of the capital reduction in the Commercial Register and the date of exchange modification.</p>	<p>By cancellation of shares:</p> <ul style="list-style-type: none"> – Date of the exchange modification; – New number of issued equity securities; <p>By redemption:</p> <ul style="list-style-type: none"> – Payment date; ex date; – Category of securities; – Security no., ISIN; – Gross amount payable per equity security; – Coupon no.; – New number of issued equity securities; – Old/new nominal value; <p>Capital reduction with simultaneous capital increase, and declarative capital reduction: The content of the report varies depending on the structure of the transaction in each specific case.</p> <p>Enclosures:</p> <ul style="list-style-type: none"> – Extract from the Commercial Register as PDF; – Articles of association as PDF. 	Connexor Reporting electronic reporting platform.	Yes.
5.05	<p>For issuers with no domicile in Switzerland:</p> <p>The current total of issued equity securities, and the associated voting rights pursuant to Art. 115 para. 3 of the Financial Market Infrastructure Ordinance.</p>	No later than 5 trading days after the change takes effect.	<ul style="list-style-type: none"> – New total number of issued equity securities; – New number of associated voting rights; – Date of change. 	Connexor Reporting electronic reporting platform.	-

Annex 2 – Bonds and Conversion Rights

Regular Reporting Obligations regarding the Maintenance of Listing – Bonds and/or Conversion Rights

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
1	Regular reporting obligations concerning information on the issuer				
1.01	Change of name of the issuer (Change of company name).	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name old/new; web address old/new; – Ticker symbol old/new; security no./ISIN; – Copies of extract from Commercial Register and articles of association. 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.02	Change of address of registered office/ place of primary management.	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name; address; P.O. Box no; tel. no.; fax no.; – Copy of extract from the Commercial Register 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.03	External auditors: <ul style="list-style-type: none"> – 1.03 (1): Change of external auditors. – 1.03 (2): Discontinuance/introduction or reintroduction of supervision of the auditors by a foreign oversight audit authority recognised by the Federal Council (Art. 8 para. 2 of the Audit Oversight Act in conjunction with Art. 10 of the Audit Oversight Ordinance). 	<ul style="list-style-type: none"> – 1.03 (1): Within 5 trading days following entry in the Commercial Register. – 1.03 (2): Immediately upon occurrence. 	1.03 (1): <ul style="list-style-type: none"> – Name (company); country of domicile; register number from the Federal Audit Oversight Authority; – Reason the issuer has changed auditor (incl. comments on whether it was the auditors who resigned). 1.03 (2): <ul style="list-style-type: none"> – Name (company) of their foreign auditors; name of the foreign audit oversight authority; effective date of the discontinuance/reintroduction of oversight of the auditors by a foreign audit oversight authority recognised by the Federal Council. – Security no./ISIN of the issuer's listed bonds. 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.04	Change of financial reporting standard.	Within 5 trading days of publication of the annual report.	<ul style="list-style-type: none"> – Pursuant to Art. 6 and 7 Directive Financial Reporting. 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
1.05	URL of published annual financial statements.	Upon publication, at latest within deadlines as stipulated by Art. 21 and 10 Directive Financial Reporting.	Link to the published annual reports, as stipulated by Art. 13 Directive Financial Reporting.	Via e-mail: kotierung@six-group.com .	SIX Exchange Regulation may publish the link on its website.
2	Regular reporting obligations concerning information on the securities - Bonds				
2.01	Amortisations.	Immediately following cancellation of securities.	<ul style="list-style-type: none"> - Security no./ISIN; - Maturity date; - Amount. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> - Website and dispatch to interested parties; - Publication in accordance with conditions.
2.02	Early redemption.	According to terms and conditions of the bond.	<ul style="list-style-type: none"> - Security no./ISIN; - Date; - Type of redemption; - Amount; - Price/currency; - Reference to the applicable point in the terms and conditions of the bond. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> - Website and dispatch to interested parties; - Publication in accordance with conditions.
2.03	Increases.	According to terms and conditions of the bond.	<ul style="list-style-type: none"> - Security no./ISIN; - Date; - Amount; - Price/currency; - Reference to the applicable point in the terms and conditions of the bond. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> - Website and dispatch to interested parties; - Publication in accordance with conditions.
2.04	Floating-rate bonds: New interest rate.	Notification by no later than 4.00 pm 2 trading days before the interest rate goes into effect.	<ul style="list-style-type: none"> - Security no./ISIN; - New interest rate; - Term of new interest rate; 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> - Website and dispatch to interested parties; - Publication in accordance with conditions.
2.05	Change in customs.	According to terms and conditions of the bond.	<ul style="list-style-type: none"> - Security no./ISIN; - Old/new interest conventions; valid from. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> - Website and dispatch to interested parties; - Publication in accordance with conditions.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
2.06	Reorganisation, restructuring, facts pertaining to flat trading, information requirements in case of non-performing bonds.	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Press communiqués; – All relevant documentation issued to bondholders. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.07	Change of borrower (Change of issuer/guarantor)	No later than one trading day prior to change of borrower entering into legal force.	<ul style="list-style-type: none"> – Security no./ISIN; – Date; – Type of redemption; – Amount; – Price/currency; – Reference to the applicable point in the terms and conditions of the bond. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.08	Change of paying agent/exercise agent.	No later than one day prior to change entering into legal force.	<ul style="list-style-type: none"> – Security no./ISIN; – Information regarding the previous as well as the new paying agent/exercise agent. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.09	Invitation to general meeting of bondholders.	Upon dispatch to bondholders.	<ul style="list-style-type: none"> – Security no./ISIN; – New interest rate; – Term of new interest rate; – Reference to the applicable point in the terms and conditions of the bond. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.10	Resolutions of general meeting of bondholders.	Immediately following entry into legal force.	<ul style="list-style-type: none"> – Security no./ISIN; – Official text of resolutions of general meeting of bondholders; – Information on amendments to bond terms and conditions, incl. validity date. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
2.11	Bankruptcy, composition, or other insolvency and liquidation proceedings.	1) Upon petition of borrower; or 2) Upon occurrence of the event.	<ul style="list-style-type: none"> – Petition of borrower (1); – All relevant documentation (incl. all decisions taken with regard to bankruptcy, composition or other insolvency or liquidation proceedings) provided to creditors and/or bondholders (1 and 2). 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
3	Regular reporting obligations concerning information on the securities - Conversion rights				
3.01	Exercise of conversion rights.	Monthly.	<ul style="list-style-type: none"> – Separately for each security (incl. security no./ISIN); – Number of exercised rights. 	Via e-mail to kotierung@six-group.com .	-
3.02	Capital events affecting the underlying: Adjustment of conversion price or conversion terms.	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Old/new conversion conditions (conversion price, conversion ratio, etc.). 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
3.03	Non-exercised conversion rights upon expiry of the conversion period.	Immediately following expiry of deadline.	<ul style="list-style-type: none"> – Security no./ISIN; – Number of securities; – Reference with regard to the intended use of the remaining conditional capital. 	Via e-mail to kotierung@six-group.com .	-

Annex 3 – Derivatives

Regular Reporting Obligations regarding the Maintenance of Listing – Derivatives

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
1	Regular reporting obligations concerning information on the issuer				
1.01	Change of name of the issuer (Change of company name).	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name old/new; web address old/new; – Ticker symbol old/new; security no./ISIN; – Copies of extract from Commercial Register and articles of association. 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.02	Change of address of registered office/ place of primary management.	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name; address; P.O. box; tel. no.; fax no.; – Copy of extract from the Commercial Register. 	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.03	Loss of required permit granted by relevant supervisory authority.	Immediately following notification of decision by supervisory authority.	Copies of formal decision by supervisory authority.	Via e-mail to kotierung@six-group.com .	
1.04	Change of financial reporting standard.	Within 5 trading days of publication of the annual report.	Pursuant to Art. 7 Directive Financial Reporting.	Official Notice via e-mail to zulassung@six-group.com .	Website and dispatch to interested parties.
1.05	URL of published annual financial statements.	Upon publication, at the latest within the deadlines stipulated by Art. 21 and 10 Directive Financial Reporting.	Link to the published annual reports, as stipulated by Art. 13 Directive Financial Reporting.	Via e-mail to kotierung@six-group.com .	SIX Exchange Regulation may publish the link on its website.
2	Regular reporting obligations concerning information on the securities¹				
2.01	Adjustments to the terms and conditions of the securities, e.g. with regard to the strike price or subscription ratio.	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Terms and conditions old/new (exercise price, subscription ratio, etc.). 	<ul style="list-style-type: none"> – Official Notice via e-mail to zulassung@six-group.com or – Connexor Events 	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.

¹ Included are all derivatives that can be listed on SIX Swiss Exchange.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
2.02	Increase or reduction in number of securities.	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Number of securities old/new. 	Connexor Events	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.03	Achievement of threshold values that might affect the price or valuation of the derivative (e.g. in the case of barrier options).	Immediately upon achievement of the threshold value.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying. 	<ul style="list-style-type: none"> – By telephone in accordance with Art. 6 Directive Debt Securities Specific Structures (this telephone report may be waived in agreement with SER); – Connexor Events 	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.04	Determination during duration of the derivative of a price parameter relevant to its valuation/payment (e.g. fixing of a new coupon rate for derivatives with interest payment).	Immediately upon determination of the new price parameter.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Terms and conditions old/new. 	<ul style="list-style-type: none"> – Official Notice via e-mail to zulassung@six-group.com or – Connexor Events 	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.05	Temporary interruption or permanent cessation of regular price determination for the underlying instrument (owing to trading suspensions, delisting of underlying instrument, or similar events).	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Terms and conditions old/new. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.06	Exchange of underlying (e.g. owing to capital events affecting the underlying, such as restructuring measures or similar).	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Terms and conditions old/new; – Reference to the applicable point in the terms and conditions of the derivative. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.07	Early termination by issuer (where provided for in the terms).	According to terms and conditions.	Security no./ISIN	Connexor Events	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Manner of publication by SIX Swiss Exchange
2.08	Changes regarding the issuer of the derivatives that might affect the price or valuation of the derivative (e.g. insolvency, bankruptcy or similar).	Immediately upon occurrence of the event.	<ul style="list-style-type: none"> – Security no./ISIN; – Security no./ISIN of underlying; – Description of event; – Date; – Effects. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.09	Change of borrower (Change of issuer/ creditor).	Five days prior to change of borrower entering into legal force.	<ul style="list-style-type: none"> – Security no./ISIN; – Information on new borrower (with inclusion of annual financial report); – Information on continuation of guarantee, if applicable; – Reference to the applicable point in the terms and conditions of the derivative. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.
2.10	Change of paying agent/exercise agent.	No later than one day prior to change entering into legal force.	<ul style="list-style-type: none"> – Security no./ISIN; – Information regarding the previous as well as the new paying agent/exercise agent. 	Official Notice via e-mail to zulassung@six-group.com .	<ul style="list-style-type: none"> – Website and dispatch to interested parties; – Publication in accordance with conditions.

Annex 4 – Investment Funds

Regular Reporting Obligations regarding the Maintenance of Listing – Collective Investment Schemes with a Contractual Basis

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1	Regular reporting obligations concerning information on the issuer				
1.01	Change of name of the fund management, the issuer, the collective investment scheme or the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act (collective investment schemes not domiciled in Switzerland).	<p>In the event of a change of name of the fund management or the collective investment scheme: Within 5 trading days after publication of the FINMA decision pursuant to Art. 27 para. 4 of the Collective Investment Schemes Act.</p> <p>In the event of a change of name of the issuer or the representative in Switzerland: Within 5 trading days after the decision of the body responsible for the change of name.</p> <p>In the event of a change of name of the issuer or the collective investment scheme, the report must reach SIX Exchange Regulation in any case no later than 10.00 am on the last trading day prior to the date of exchange modification.</p>	<p>In the event of a change of name of the fund management or the representative in Switzerland:</p> <ul style="list-style-type: none"> – Date of change; – Name old/new. <p>In the event of a change of name of the issuer or the collective investment scheme:</p> <ul style="list-style-type: none"> – Date of the exchange modification; – Name old/new; – Security number and ISIN old/new (where appropriate). <p>Enclosures: In the event of a change of name of the fund management or the collective investment scheme: Decision of the supervisory authority as PDF.</p> <p>In the event of a change of name of the issuer or the representative in Switzerland: Decision as PDF.</p>	Online form: "Official Notice Name Change"; Via e-mail: meldepflichten@six-group.com .	Yes, in the event of a change of name of the issuer or the collective investment scheme.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.02	Transfer of the registered office of the fund management.	Within 5 trading days after publication of the decision of the supervisory authority pursuant to Art. 27 para. 4 of the Collective Investment Schemes Act.	<ul style="list-style-type: none"> – Date; – Address, P.O. box; – Tel. no., fax no.; – E-mail address of the fund management. <p>Enclosure: Decision of the supervisory authority as PDF.</p>	Online form: "Change of Registered Office" .	-
1.03	Change of address for the delivery of legally relevant documents.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address; – Language for correspondence. 	Online form: "Change of Registered Office" .	-
1.04	Change of invoice address.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box. 	Online form: "Change of Registered Office" .	-
1.05	Change of fund management.	Within 5 trading days after publication of the decision of the supervisory authority pursuant to Art. 27 para. 4 of the Collective Investment Schemes Act.	<ul style="list-style-type: none"> – Date; – Name of the old fund management. <p>With regard to the new fund management:</p> <ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address. <p>Enclosure: Decision of the supervisory authority as PDF.</p>	Via e-mail: meldepflichten@six-group.com .	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.06	<p>Changes to contact persons:</p> <ul style="list-style-type: none"> – 1.06 (1) Contact person at the fund management (collective investment scheme domiciled in Switzerland) or at the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act (collective investment scheme not domiciled in Switzerland); – 1.06 (2) Contact person for the disclosure of potentially price-sensitive information, if the issuer is subject to the provisions of the Directive on Ad hoc Publicity; – 1.06 (3) Contact person for regular reporting obligations in accordance with this Directive. 	Immediately upon occurrence.	<ul style="list-style-type: none"> – Last name, first name; – Address for correspondence; – Direct telephone number, direct fax number; – Direct e-mail address; – Team e-mail address; – Language for correspondence. <p>Additionally for the contact persons for:</p> <ul style="list-style-type: none"> – the disclosure of potentially price-sensitive information and – regular reporting obligations: mobile phone number. 	Online form: "Contact Persons" .	-
1.07	<p>Changes to the following weblinks (URLs):</p> <ul style="list-style-type: none"> – 1.07 (1) Collective investment scheme's general website; – 1.07 (2) Prospectuses; – 1.07 (3) Directory of financial statements. <p>If the issuer is subject to the provisions of the Directive on Ad hoc Publicity:</p> <ul style="list-style-type: none"> – 1.07 (4) Registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity). – 1.07 (5) Directory of disclosures on price-sensitive information (pull system pursuant to Art. 9 Directive Ad hoc Publicity). 	Immediately upon occurrence.	Weblink.	Via e-mail: meldepflichten@six-group.com .	-
2	Regular reporting obligations in connection with units				
2.01	Repealed.				

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
2.02	Repealed.				
2.03	Distribution.	As soon as determined. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Ex date; – Date on which distribution is paid out (pay date); – Security no. and ISIN old/new; – Amount per unit (gross/net); – Coupon no. (if any); – Contact person; – Any further details. <p>If fund units are to be distributed instead of money, the following information must be given additionally:</p> <ul style="list-style-type: none"> – ISIN of the securities that are to be distributed; – Subscription ratio between fund units held and those which are to be distributed. <p>Additionally in the case of commodity dividends: Object of the distribution as a commodity dividend.</p>	Online form: "Official Notice Dividends" or send the corresponding Excel file via e-mail to: meldepflichten@six-group.com	Yes.
2.04	Change in the currency of the underlying.	As soon as determined. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Date of the exchange modification; – Base currency old/new. 	Online form: "Official Notice Change of Underlying".	Yes.
2.05	Deferred redemption pursuant to Art. 81 of the Collective Investment Schemes Act.	When the resolution has been taken or decision made.	Enclosure: Resolution by the fund management or decision of the supervisory authority as PDF.	Via e-mail: meldepflichten@six-group.com .	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
2.06	For real estate funds: redemption of units by the issuer.	No later than 10 am on the final trading day before the effective date.	<ul style="list-style-type: none"> - Name of the fund; - Ticker symbol; - Security no., ISIN; - Number of units redeemed; - Effective date; - Reason for redemption. 	Online form: "Official Notice Redemption of Units".	Yes.

Annex 5 – Other Collective Investment Schemes

Regular Reporting Obligations regarding the Maintenance of Listing – Collective Investment Schemes Based on Company Law

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1	Regular reporting obligations concerning information on the issuer				
1.01	Change of name of the issuer or of the name of collective investment scheme.	In the event of a change of name of the issuer or the collective investment scheme : Within 5 trading days after publication of the FINMA decision pursuant to Art. 27 para. 4 of the Collective Investment Schemes Act. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification .	<ul style="list-style-type: none"> – Name old/new; – Web address old/new; – Ticker symbol old/new; – Security no. and ISIN old/new; – Date of the exchange modification. <p>Enclosures:</p> <p>In the event of a change of name of the issuer:</p> <ul style="list-style-type: none"> – Articles of association as PDF; – Extract from the Commercial Register as PDF. <p>In the event of a change of name of the collective investment scheme: Decision of the supervisory authority as PDF.</p>	Online form: "Official Notice Name Change" .	Yes.
1.02	Change of address of registered office/place of primary management.	Within 5 trading days following entry in the Commercial Register.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; <p>Enclosure:</p> <p>Extract from the Commercial Register as PDF.</p>	Online form: "Change of Registered Office" .	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.03	Change of address for the delivery of legally relevant documents.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address; – Language for correspondence. 	Online form: "Change of Registered Office".	-
1.04	Change of invoice address.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box. 	Online form: "Change of Registered Office".	-
1.05	<p>Changes to contact persons:</p> <ul style="list-style-type: none"> – 1.05 (1): Chairman of the Board of Directors; – 1.05 (2): Chief Executive Officer; – 1.05 (3): Chief Financial Officer; – 1.05 (4) Head of Investor Relations; – 1.05 (5) Contact person for the disclosure of potentially price-sensitive information, if the issuer is subject to the provisions of the Directive on Ad hoc Publicity; – 1.05 (6) Contact person for regular reporting obligations in accordance with this Directive. <p>Additionally for issuers with no registered office in Switzerland:</p> <ul style="list-style-type: none"> – 1.05 (7) Contact person at the representative in Switzerland pursuant to Art. 123 f. of the Collective Investment Schemes Act. 	Immediately upon occurrence.	<ul style="list-style-type: none"> – Last name, first name; – Address for correspondence; – Direct telephone number, direct fax number; – Direct e-mail address; – Team e-mail address; – Language for correspondence. <p>Additionally for the contact persons for:</p> <ul style="list-style-type: none"> – the disclosure of potentially price-sensitive information and – regular reporting obligations: mobile phone number. 	Online form: "Contact Persons".	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.06	<p>Changes to the following weblinks (URLs):</p> <ul style="list-style-type: none"> – 1.06 (1) Issuer's general website; – 1.06 (2) Corporate calendar; – 1.06 (3) Directory of financial statements. <p>If the issuer is subject to the provisions of the Directive on Ad hoc Publicity:</p> <ul style="list-style-type: none"> – 1.06 (4) Registration form for the e-mail distribution list (subscription to push system pursuant to Art. 8 Directive Ad hoc Publicity); – 1.06 (5) Directory of disclosures on price-sensitive information (pull system pursuant to Art. 9 Directive Ad hoc Publicity). 	Immediately upon occurrence.	Weblink.	Via e-mail: meldepflichten@six-group.com .	-
2	Regular reporting obligations in connection with units				
2.01	Repealed.				
2.02	Repealed.				

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
2.03	Dividend report.	As soon as determined. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of the ex dividend trading.	<ul style="list-style-type: none"> – Date of ex-dividend trading (ex date); – Date on which dividends are paid out (pay date); – Category of securities; – Security no. and ISIN; – Gross amount per share; – Coupon no.; – Any further details. <p>Additionally in the case of stock dividends:</p> <ul style="list-style-type: none"> – Information on whether the issuer's own existing shares are to be used or new shares are created in the framework of a capital increase; – ISIN of the shares that are to be distributed; – Subscription ratio between shares held and those which are to be distributed. <p>Additionally in the case of commodity dividends:</p> <p>Object of the commodity dividend.</p>	Online form: "Official Notice Dividends" or send the corresponding Excel file via e-mail to: meldepflichten@six-group.com .	Yes.
2.04	Change in the currency of the underlying.	As soon as determined. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Date of the exchange modification; – Base currency old/new. 	Online form: "Official Notice Change of Underlying" .	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
2.05	For real estate funds: redemption of units by the issuer.	No later than 10.00 am on the final trading day before the effective date.	<ul style="list-style-type: none"> - Name of the fund; - Ticker symbol; - Security no., ISIN; - Number of units redeemed; - Effective date; - Reason for redemption. 	Online form: "Official Notice Redemption of Units".	Yes.
3	Regular reporting obligations in connection with the general meeting of shareholders (GMS)				
3.01	Date of GMS.	As soon as determined.	Date.	Via e-mail: meldepflichten@six-group.com .	-
3.02	Invitation to GMS.	No later than 20 calendar days prior to the GMS.	Enclosure: Agenda as PDF, or media release with the same content, as PDF.	Via e-mail: meldepflichten@six-group.com .	-
3.03	Resolutions of the GMS.	No later than 1 trading day following GMS.	Enclosure: Resolutions as per the agenda as PDF, or media release with the same content, as PDF.	Via e-mail: meldepflichten@six-group.com .	-

Annex 6 – Secondary-Listed Equity Securities

Regular Reporting Obligations regarding the Maintenance of Listing – Secondary-Listed Equity Securities

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1	Regular reporting obligations concerning information on the issuer:				
1.01	Change of name of the issuer.	The report must reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Name old/new; – Ticker symbol old/new; – Security no. and ISIN old/new; – Date of exchange modification on the primary exchange. 	Online form: "Official Notice Name Change" .	Yes.
1.02	Change of address of registered office/place of primary management.	Within 5 trading days following the change.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; 	Online form: "Change of Registered Office" .	-
1.03	Change of address for the delivery of legally relevant documents.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address, P.O. box; – Tel. no., fax no.; – e-mail address; – Language for correspondence. 	Online form: "Change of Registered Office" .	-
1.04	Change of external auditors.	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Country of domicile; – Register number of the competent audit oversight authority. 	Via e-mail: meldepflichten@six-group.com .	-
1.05	Changes to contact persons: <ul style="list-style-type: none"> – 1.05 (1): Contact person for the disclosure of potentially price-sensitive information; – 1.05 (2): Contact person for regular reporting obligations in accordance with this Directive; – 1.05 (3): Recognised representation in Switzerland, if any. 	Immediately upon occurrence.	<ul style="list-style-type: none"> – Name; – Address for correspondence; – Telephone number; – e-mail address; – Team e-mail address; – Language for correspondence. 	Online form: "Contact Persons" .	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.06	Submission of disclosures of potentially price-sensitive information pursuant to Art. 21 para. 2 Directive Foreign Companies.	Upon publication of the ad hoc notice.	Enclosure: Media release.	Via e-mail: adhoc@six-group.com .	-
1.07	Confirmation from the primary exchange of the number of listed equity securities.	Once a year at the request of SIX Exchange Regulation.	Confirmation from the primary exchange that the issuer has listed equity securities on it (incl. the number of listed equity securities, and a signature).	Via e-mail: meldepflichten@six-group.com .	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
1.08	Information in accordance with the form for the annual data collection survey pursuant to Art. 20 Directive Foreign Companies.	Once a year at the request of SIX Exchange Regulation.	<ul style="list-style-type: none"> – Name of the issuer; – Address of the registered office of the issuer, or the location of its primary management; – Language for correspondence; – Company website; – ISIN; – Security no. on SIX Swiss Exchange; – Contact persons (incl. e-mail addresses) for: <ul style="list-style-type: none"> a. Disclosure of potentially price-sensitive information; b. Regular reporting obligations in accordance with this Directive; c. Admission procedures (representative in Switzerland, if any); – Capital structure: <ul style="list-style-type: none"> a. Outstanding equity securities; b. Conditional and/or authorised capital, if any; c. Capital transactions carried out during the year; – Dividend payments/anticipated ex-dividend date (ex date) on primary exchange (if known on survey date). 	Via e-mail: meldepflichten@six-group.com .	-

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
2	Regular reporting obligations in connection with dividends				
2.01	Dividend report.	As soon as determined. However, the report must in any case reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of the ex dividend trading.	<ul style="list-style-type: none"> – Date of ex-dividend trading (ex date); – Payment date; – Category of securities; – Security no. and ISIN old/new; – Gross amount payable per equity security; – Coupon no.; – Any further details. <p>Additionally in the case of stock dividends:</p> <ul style="list-style-type: none"> – Information on whether the issuer's own existing equity securities are to be used, or new equity securities created as part of a capital increase; – ISIN of the equity securities that are to be distributed; – Subscription ratio between the equity securities that are held and those which are to be distributed. <p>Additionally in the case of commodity dividends: Object of the commodity dividend.</p>	Online form: "Official Notice Dividends" .	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
3	Regular reporting obligations in connection with the capital structure				
3.01	Capital increase concerning listed equity securities.	The report must reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<ul style="list-style-type: none"> – Category of securities; – Ex date; – New number of issued equity securities; – Current level of company capital; – Reference to the secondary listing, including mention of the home country exchange and the trading symbol used there; – Trading currency on SIX Swiss Exchange. 	Online form: "Official Notice: capital structure".	Yes.
3.02	Splits concerning listed equity securities (e.g. share splits).	The report must reach SIX Exchange Regulation no later than 5 trading days prior to the date of exchange modification.	<ul style="list-style-type: none"> – Category of securities; – Security no. and ISIN old/new; – Ex date; – Nominal value old/new; – Old number of issued equity securities; – New number of issued equity securities; – Reference to the secondary listing, including mention of the home country exchange and the trading symbol used there; – Trading currency on SIX Swiss Exchange. 	Online form: "Official Notice: capital structure".	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
3.03	Capital reduction concerning listed equity securities.	The report must reach SIX Exchange Regulation no later than 10.00 am on the last trading day prior to the date of exchange modification.	<p>By cancellation of shares:</p> <ul style="list-style-type: none"> – Ex date; – Old number of issued equity securities; – New number of issued equity securities. <p>By redemption:</p> <ul style="list-style-type: none"> – Payment date; ex date; – Category of securities; – Security no. and ISIN; – Gross amount payable per equity security; – Coupon no.; – Old number of issued equity securities; – New number of issued equity securities; – Old/new nominal value; – Reference to the secondary listing, including mention of the home country exchange and the trading symbol used there; – Trading currency on SIX Swiss Exchange. 	Online form: "Official notice capital decrease".	Yes.

Point	Reportable fact	Timing of report	Contents of the report	Manner of transmission to SIX Exchange Regulation	Official Notice
4	Regular Reporting Obligations in Connection with the Restructuring of the Issuer				
4.01	Restructuring: – 4.01 (1) Merger; – 4.01 (2) Spin-off.	The report must reach SIX Exchange Regulation no later than 5 trading days prior to the date of exchange modification.	<ul style="list-style-type: none"> – Category of securities; – Security no. and ISIN old/new; – Date of exchange modification (ex date); – Nominal value old/new; – Per company: Number of equity securities before/after; – Industrial sector; – Reference to the secondary listing, including mention of the home country exchange and the trading symbol used there; – Trading currency on SIX Swiss Exchange; – Any further details. 	Online form: "Official notice restructuring".	Yes.