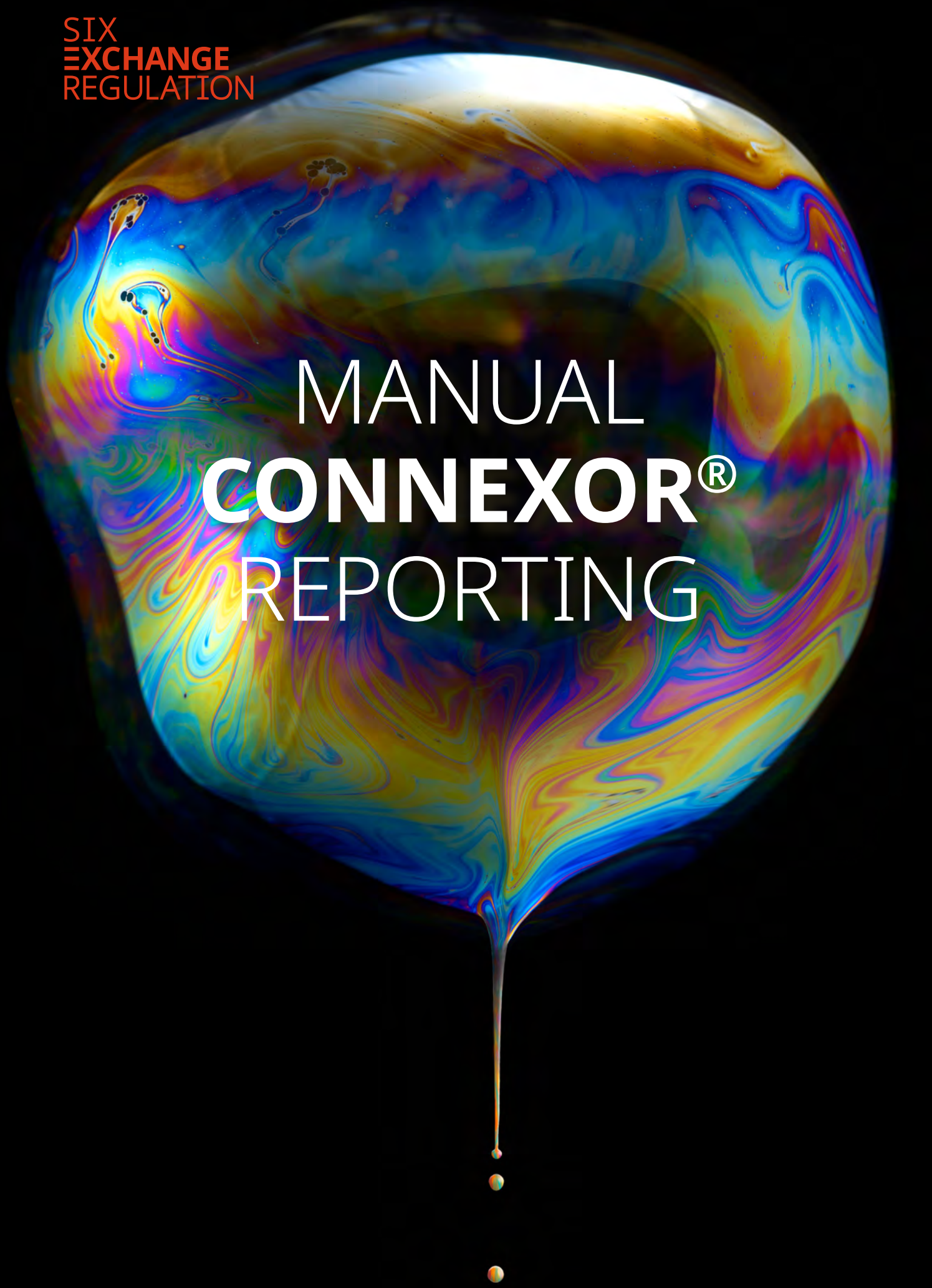
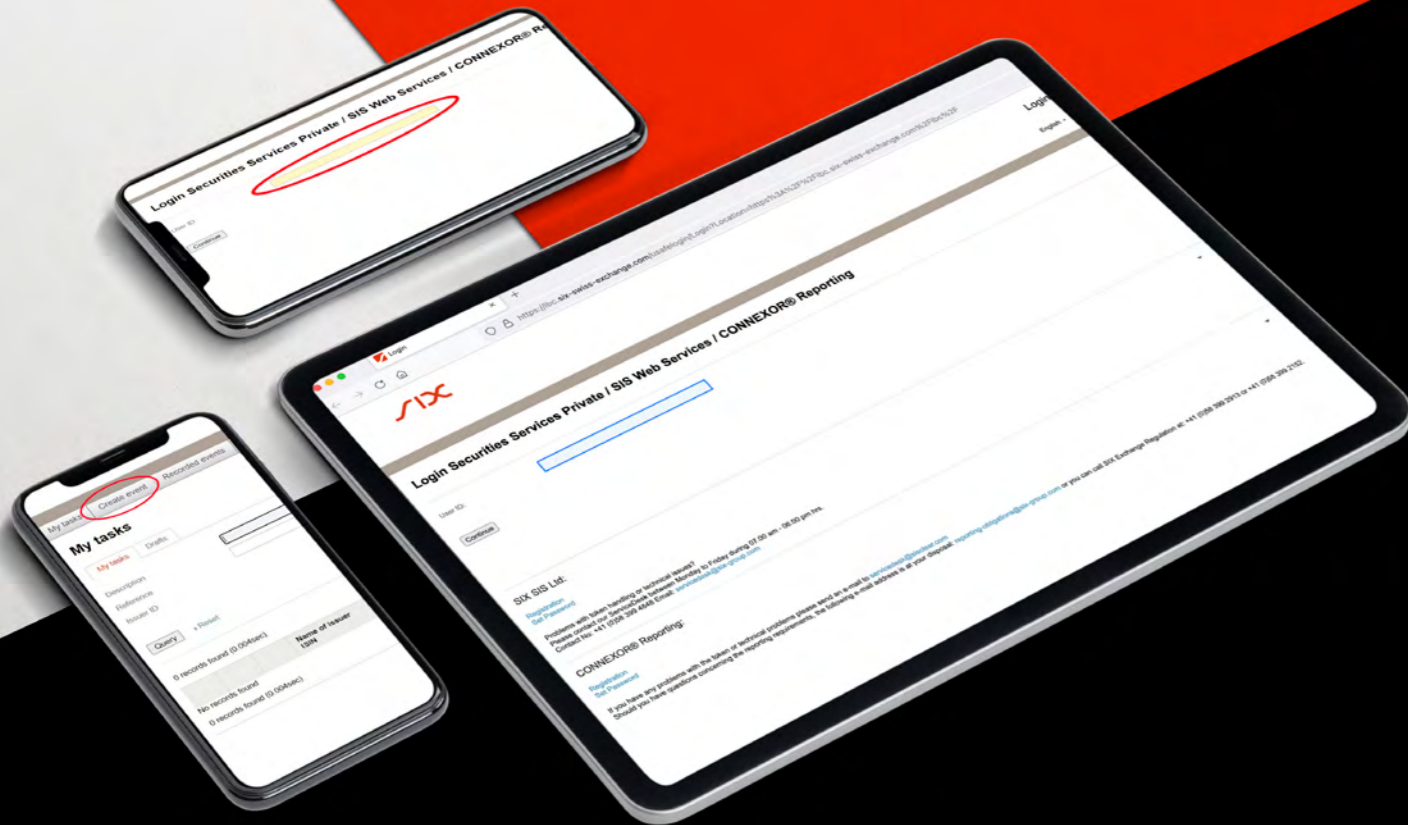


SIX  
EXCHANGE  
REGULATION

MANUAL  
**CONNEXOR<sup>®</sup>**  
REPORTING





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# 1

For reasons of security and confidentiality, from 1 October 2021 issuers of primary-listed equity securities must use the online platform CONNEXOR® Reporting for transmission of their ad hoc announcements to SIX Exchange Regulation AG (SER).

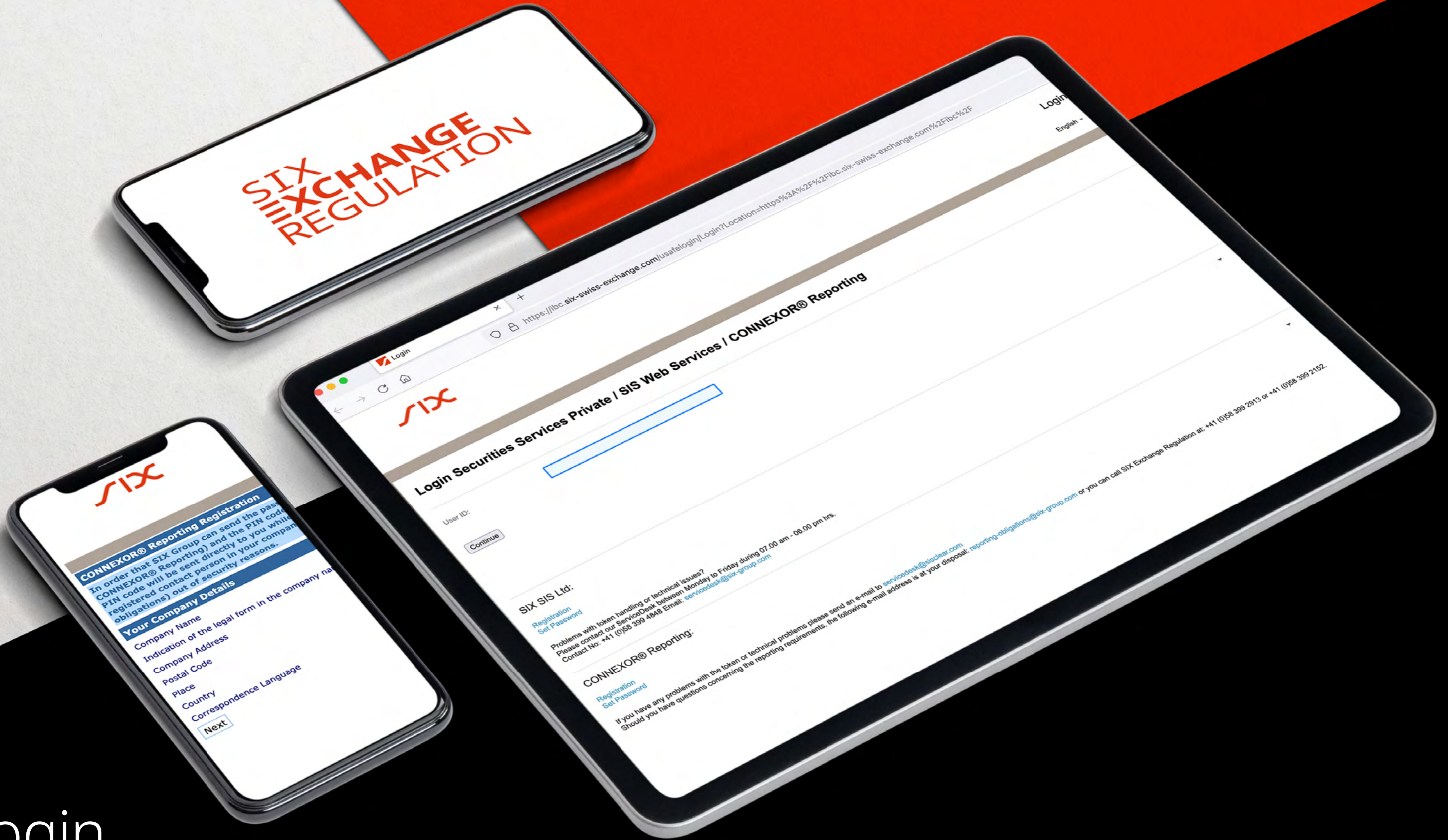
The distribution of ad hoc announcements must continue to comply with the provisions of Art. 7 et seqq. Directive on Ad hoc Publicity (DAH). CONNEXOR® Reporting does not replace distribution to the default addressees. CONNEXOR® Reporting will serve only to ensure secure and confidential transmission of ad hoc announcements to SIX Exchange Regulation AG. The ad hoc announcements will not be forwarded internally or externally, or published, by SIX Exchange Regulation AG.

Care must be taken to ensure the distribution of ad hoc announcements to all addressees simultaneously (including SER). The introduction of CONNEXOR® Reporting for ad hoc announcements will have no impact on the previous applicable practice or 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.



2



# Login

As soon as the **user** has registered<sup>1</sup> and received the relevant access data, they can log in to CONNEXOR® Reporting via the **following link**:

[ser-ag.com/connexorreporting](https://ser-ag.com/connexorreporting)

<sup>1</sup>Further information on registration can be found in the Manual Onboarding Connexor Reporting.

# 2.1

## User ID

The user's registered e-mail address is their **user ID**.



Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID:

After entering the e-mail address, click on **“Continue”**.



Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID:

# 2.2

## Token and passcode

The user is then prompted to enter the passcode. The passcode consists of a PIN, to be set when logging in for the first time, and the sequence of numbers randomly generated by the token (RSA hardware token or Futura mobile app token).



Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID: ██████████@six-group.com

Short Name: ██████

Passcode:

After entering the passcode, click on **“Login”**.



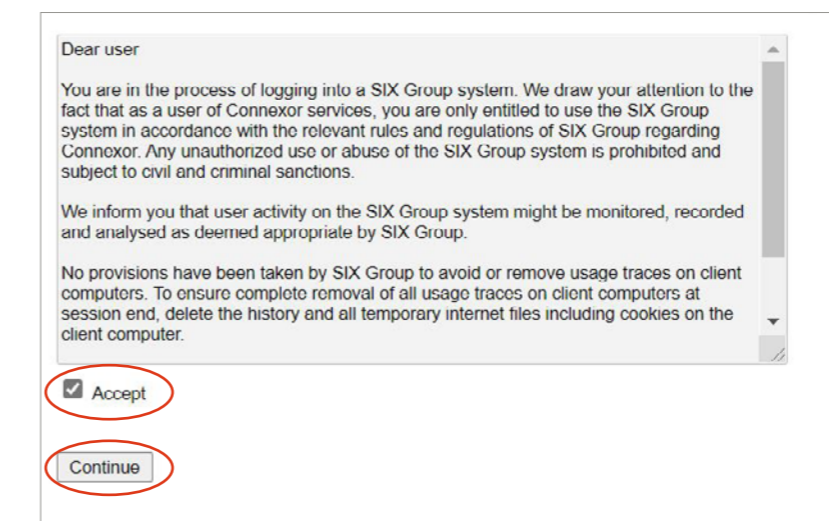
Login Securities Services Private / SIS Web Services / CONNEXOR® Reporting

User ID: ██████████@six-group.com

Short Name: ██████

Passcode:

Once the user has read the General Terms and Conditions and consented by ticking **“Accept”**, they can click on **“Continue”**.



Dear user

You are in the process of logging into a SIX Group system. We draw your attention to the fact that as a user of Connexor services, you are only entitled to use the SIX Group system in accordance with the relevant rules and regulations of SIX Group regarding Connexor. Any unauthorized use or abuse of the SIX Group system is prohibited and subject to civil and criminal sanctions.

We inform you that user activity on the SIX Group system might be monitored, recorded and analysed as deemed appropriate by SIX Group.

No provisions have been taken by SIX Group to avoid or remove usage traces on client computers. To ensure complete removal of all usage traces on client computers at session end, delete the history and all temporary internet files including cookies on the client computer.

Accept



## Particularities for users with several roles (ad hoc and reporting obligations)

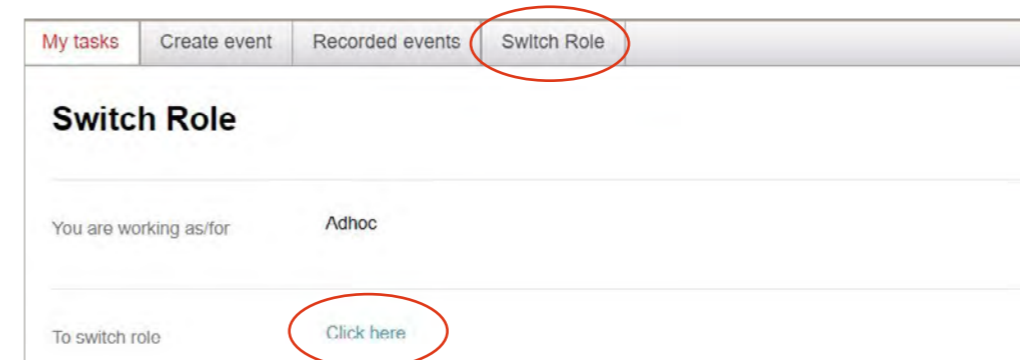
If a user is authorised both to transmit ad hoc announcements and to fulfil the regular reporting obligations, they will be asked to select their preferred role (“Adhoc” or “Reporting Obligations”) when logging in for the first time (please make sure that the browser allows pop-up windows).



The screenshot shows a dialog box titled "Switch Role". It contains two radio button options: "Adhoc" and "Reporting Obligations". The "Adhoc" option is selected.

Depending on the selected role, only the reports/announcements designated for that role will be displayed.

The role can be changed during a session. To do so, the user must click on **“Switch Role”** and select the link **“Click Here”**.

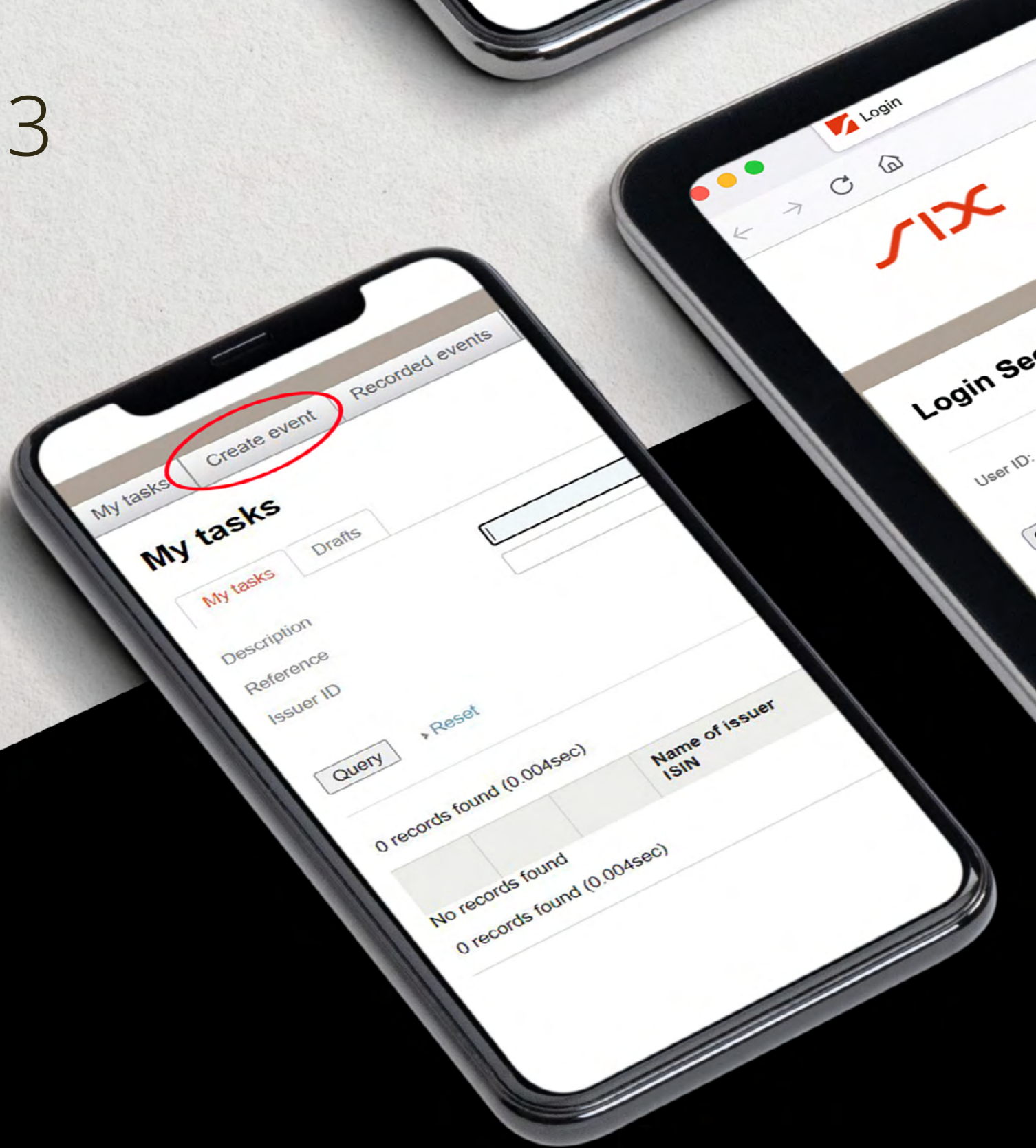


The screenshot shows a navigation bar with four tabs: "My tasks", "Create event", "Recorded events", and "Switch Role". The "Switch Role" tab is circled in red. Below the navigation bar, the text "You are working as/for" is followed by "Adhoc". At the bottom, the text "To switch role" is followed by a blue link "Click here" which is also circled in red.

When logging out, CONNEXOR® Reporting saves the last selected role. When logging in next time, the user is assigned the last saved role. When logging in next time, if the user would like to submit a report/announcement associated with the other role, they must change the role using **“Switch Role”** as described above.

3

Entering announcements



## 3.1

### Entering a new announcement

To enter an ad hoc announcement, the user selects **“Create event”**.

My tasks | **Create event** | Recorded events

### My tasks

My tasks | Drafts

Description:  Creation Date from / to: 03.09.2021 | 10.09.2021

Reference:  Event: Adhoc

Issuer ID:  Sort on: Update date | Descending

Query | Reset

0 records found (0.004sec)

Name of issuer ISIN	Description Reference	Event	Creation date Update date
No records found			
0 records found (0.004sec)			

They must then click on **“Adhoc Event”**.

My tasks | Create event | Recorded events

### Create event

Search:

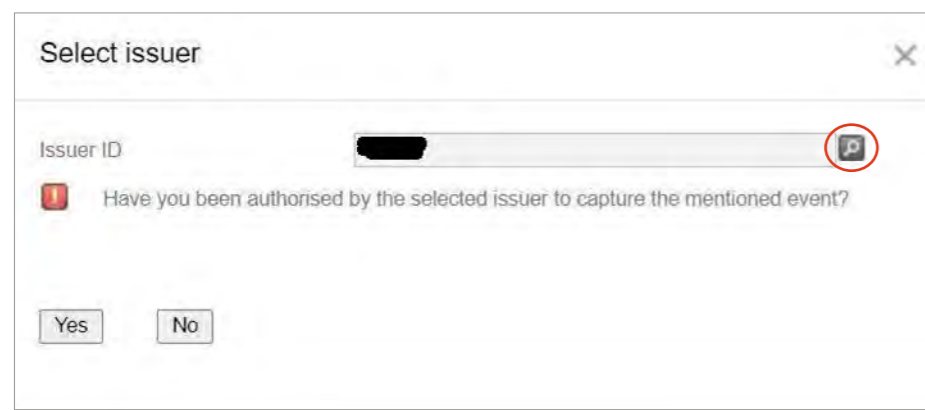
Query | Reset

Event
SIX Exchange Regulation
<b>Adhoc Event</b>

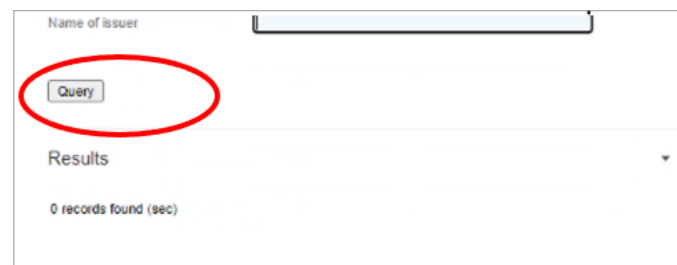
## 3.2

### Exception for authorised third parties (power of attorney/PoA)

If an authorised third party must enter an announcement for an issuer, a pop-up window appears after clicking on **“Adhoc Event”**. The authorised third party is prompted to select the issuer for whom the announcement must be entered. Select the correct issuer by clicking on the magnifying glass symbol.



Clicking on **“Query”** in the new pop-up window displays the issuers who have given power of attorney to the third party.



## 3.3

### Details of an ad hoc announcement

The next window prompts the user to enter the required information for an ad hoc announcement. Except for the field **“Note to SIX Exchange Regulation”**, all fields must be filled out.

#### The following details are required:

- Date of publication of the ad hoc announcement: the publication date must be entered in the format Day/Month/Year (DD/MM/YYYY)
- Time of the publication of the ad hoc announcement (CET): the publication time must be entered in the format 00:00
- Confirmation that the ad hoc announcement
  - was sent to at least two electronic information systems widely used by professional market participants (e.g. Bloomberg, Reuters, SIX Financial Information) (Art. 7 DAH),
  - was sent to at least two Swiss media (printed or electronic) of national importance (Art. 7 DAH),
  - used the e-mail distribution service (push system) (Art. 8 DAH) and
  - was uploaded to the issuers website in the designated directory (pull system) (Art. 9 DAH).

# 3.3

## Details of an ad hoc announcement

Care must be taken to fulfil the simultaneous distribution obligation (also to SER) in accordance with Art. 10 para 2 DAH.

My tasks | Create event | Recorded events

### Ad hoc announcement

Issuer ID: [redacted] Name of issuer: [redacted] Event type: New

SIX Exchange Regulation only: Yes

Information for SER

Type of notification: Definitive

Date of publication of the ad hoc announcement: [input field]

Time of publication of the ad hoc announcement (CET): [input field]

We confirm that the ad hoc announcement has been/ will be published as follows:

- at least two electronic information systems widely used by professional market participants (e.g. Bloomberg, Reuters, SIX Financial Information)
- at least two Swiss media (printed or electronic) of national importance (Art. 7 DAH)
- E-mail distribution (push system) (Art. 8 DAH)
- Issuer's Website (pull system) (Art. 9 DAH)

Note to SIX Exchange Regulation: [text area]

The details must then be **“save”**.

Attachments

Type	Description
No records found	

Upload

Save | Print | Execute | Reset

Once the details have been saved correctly, the user receives a confirmation.

My tasks | Create event | Recorded events

The report has been saved successfully

### Ad hoc announcement

The details can be edited once the save process has finished. Before the ad hoc announcement can be uploaded as a PDF, any changes must be saved again (see section 3.4).



# 3.4

## Uploading the ad hoc announcement

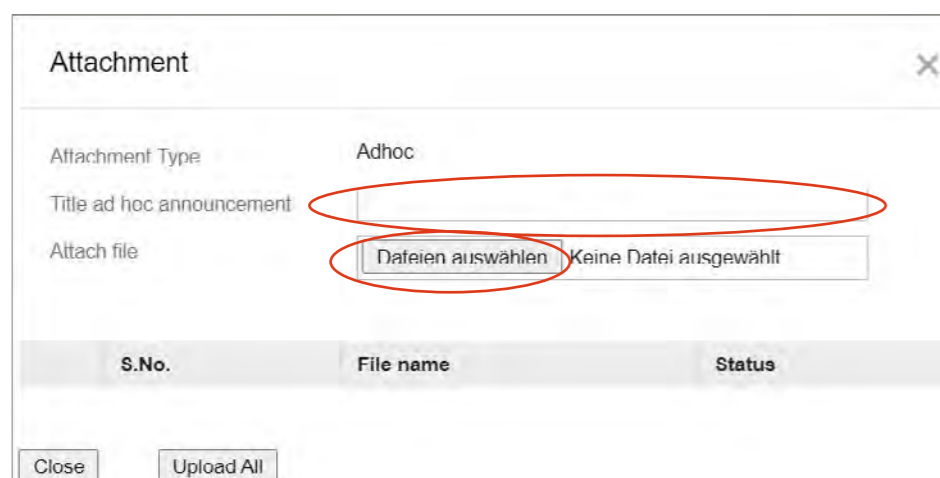
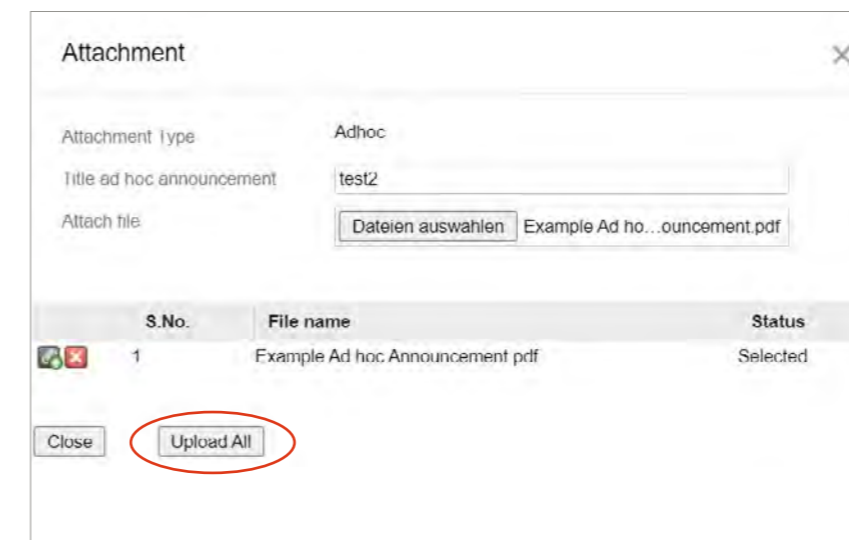
To upload the ad hoc announcement, the user must click on «Upload» under **“Attachments”**.

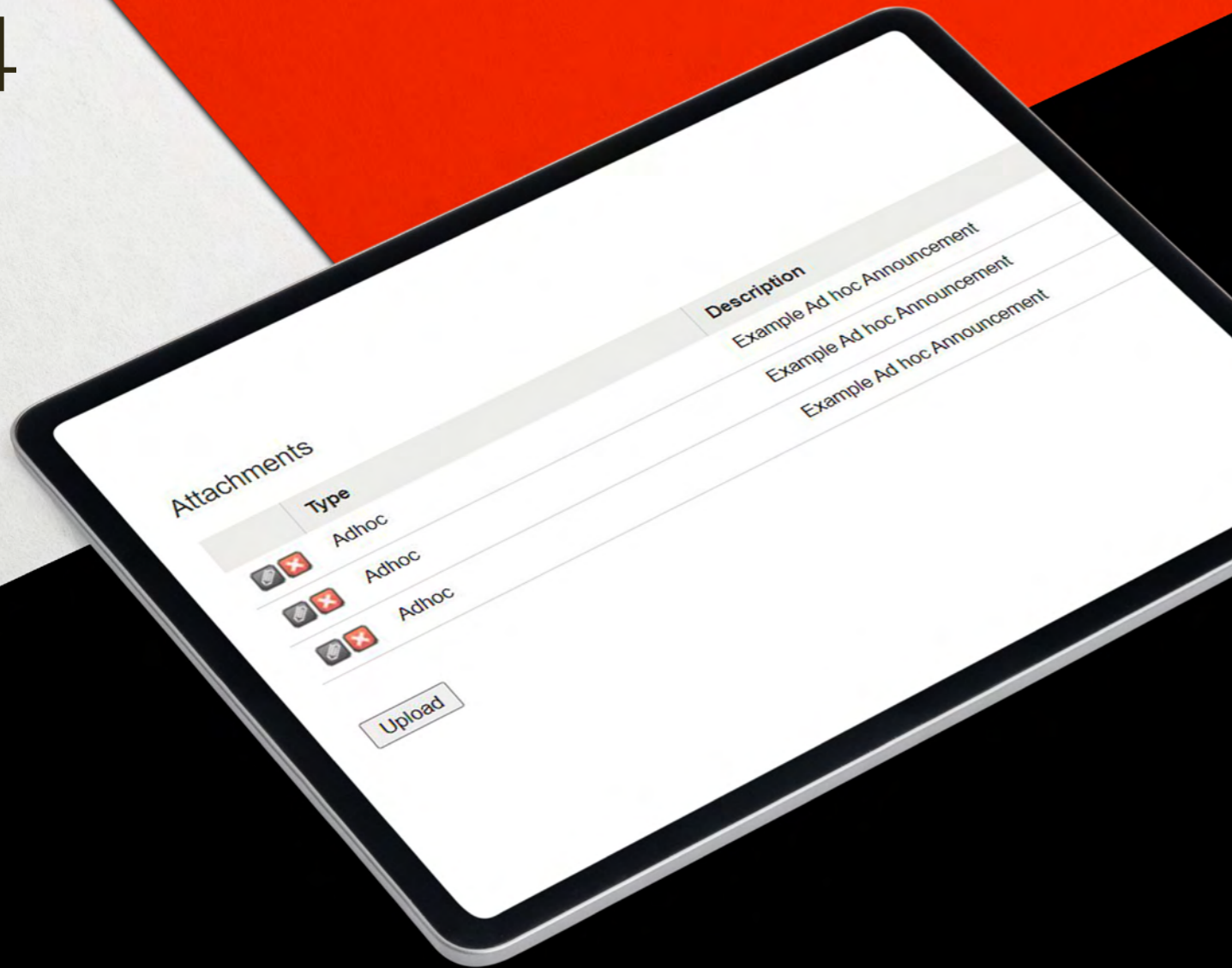


A pop-up window opens and the user will be prompted to enter the title of the ad hoc announcement in one of the announcement’s languages. All language versions of the ad hoc announcement (the announcement itself, not a reference to an ad hoc announcement uploaded on the website) must then be uploaded as a PDF file. To do so, the user must click on **“Choose Files”** and upload the required PDF file(s).

It must be ensured that the file name of the ad hoc announcement does not contain special characters such as “!, -, \_”, etc. Otherwise the upload can-not be completed and an error message appears.

As all language versions of an ad hoc announcement must be uploaded as PDF files, there is a multiple upload option. The user can select several files in the pop-up window and upload them using **“Upload All”**.

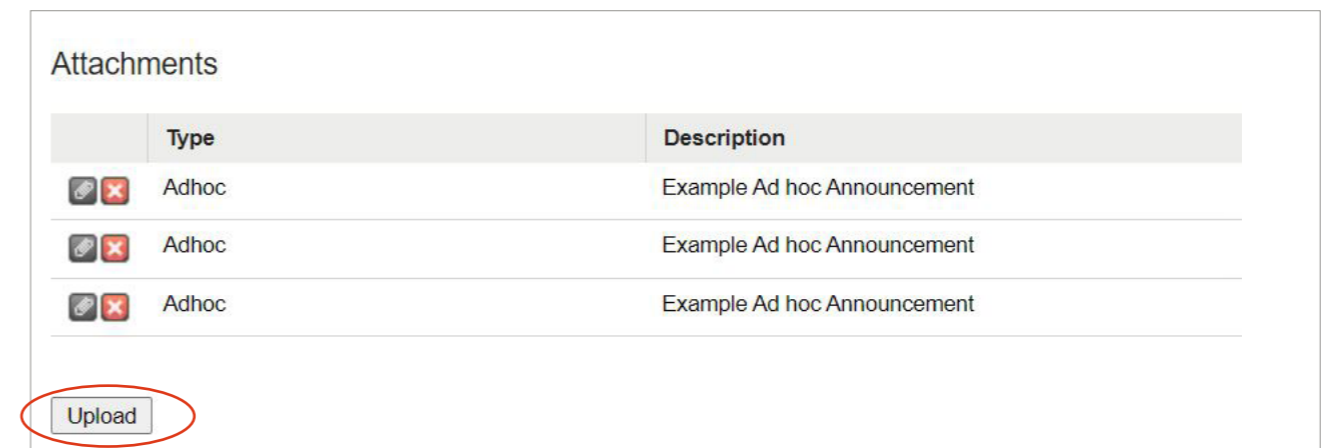




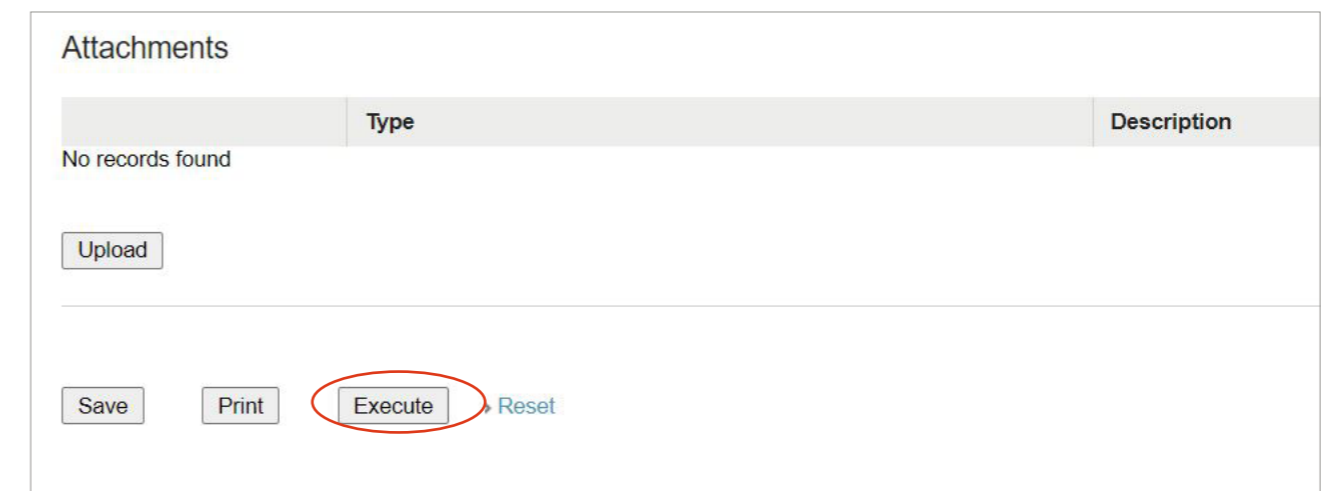
# Executing and transmitting to SER

Once the user has successfully uploaded the ad hoc announcement as a PDF file, it appears under Enclosures. If the wrong PDF file was selected for upload (see 3.3 above), it can be deleted by clicking on **X**.

Once all the details for the ad hoc announcement have been entered and the ad hoc announce-ment uploaded as a PDF, click on **"Upload"**.



Depending on whether the user has 2 Eye Principle or 4 Eye Principle (see the following section, points 4.1 and 4.2), the announcement is either directly transmitted to SER or made available to the user's team members with the request for approval so it can be processed further.

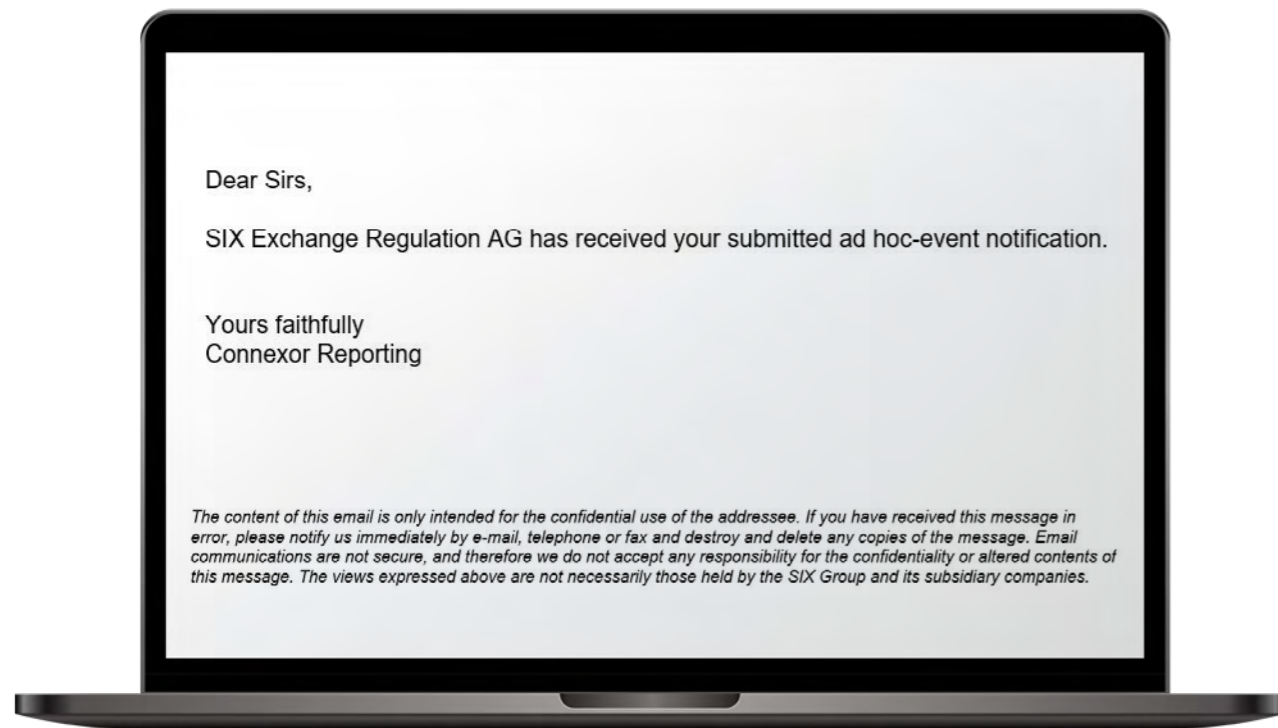


# 4.1

## 2 Eye Principle

If the user clicks on **“Execute”** in single control mode, the report is sent directly to SER together with the ad hoc announcement.

Upon successful execution, the user receives a short confirmation of the transmission via e-mail

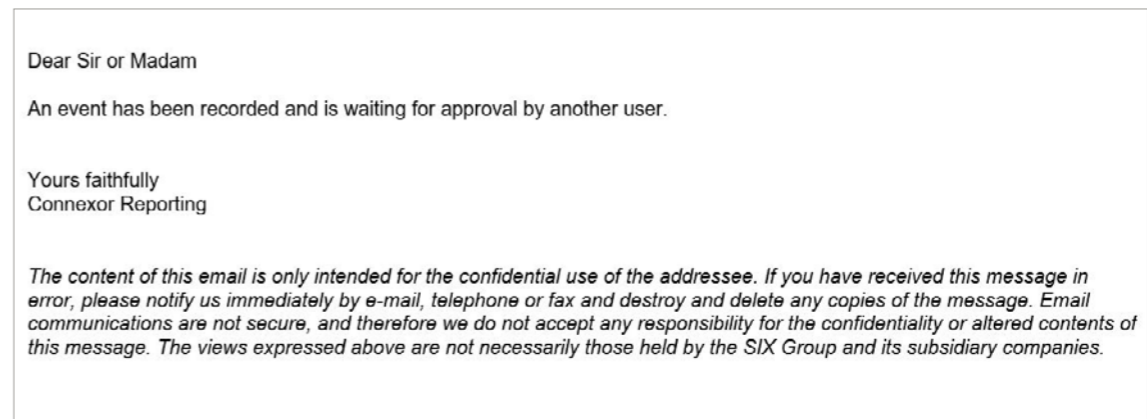


# 4.2

## 4 Eye Principle

4 Eye Principle means the report/announcement is entered by one person and must then be “approved” by a second person. Only then is the report sent to SER together with the ad hoc announcement.

If the first person enters a report/announcement in accordance with the conditions above and clicks on Execute (see section 4 above), a second person (if the first person has 4 Eye Principle) receives an e-mail with the information that a report has to be approved.



As soon as the second person logs in, they can view the entered report by clicking on the appropriate symbol in **“My Tasks”**.



# 4.2

## 4 Eye Principle

The screenshot shows a web interface titled "My tasks" with tabs for "My tasks" and "Drafts". It includes search filters for Description, Reference, Issuer ID, Creation Date (03.09.2021 to 10.09.2021), Event (Adhoc), and Sort on (Update date, Descending). A "Query" button and a "Reset" link are present. Below the filters, it states "2 records found (0.005sec)".

Name of issuer ISIN	Description Reference	Event	Creation date Update date	User
[Redacted]	Nouveau-Définitif-Pour approbation 28890	Annonce événementielle	10.09.2021 - 11:35 10.09.2021 - 11:35	
[Redacted]	New-Definitive-For approval 28887	Annonce événementielle	10.09.2021 - 11:33 10.09.2021 - 11:33	

This opens the window described in section 3.3 and the second person can check the re-report/announcement and adjust it if necessary. Once the report/announcement has been final-ised, the second person can transmit it to SER by clicking on **“Execute”** (see above).

