

SIX  
EXCHANGE  
REGULATION

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

# ONBOARDING **CONNEXOR**<sup>®</sup> REPORTING

For reasons of security and confidentiality, from 1 October 2021 issuers of primary-listed equity securities must use the online platform CONNEXOR<sup>®</sup> 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<sup>®</sup> Reporting does not replace distribution to the default addressees. CONNEXOR<sup>®</sup> 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<sup>®</sup> 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.

## Table of contents

1. Introduction
2. Authorised third parties
3. Registration/entry
4. Token and PIN
5. Registered users

# 2

## Authorised third parties

CONNEXOR® Reporting offers issuers the option to fulfil the ad hoc publicity obligations and regular reporting obligations by registering employees or authorised third parties. The registration process differs slightly depending on whether the registration is for employees of the issuer or for authorised third parties. The differences are explicitly stated in the following section.

If the issuer engages third parties (lawyers, consultants, etc.) to fulfil their regular reporting obligations and/or ad hoc publicity obligations, SER must be informed of this in writing via e-mail to **connexor-reporting@six-group.com**, stating the name and address of the persons engaged (including telephone number and e-mail address).

This e-mail must be accompanied by a signed power of attorney. Alternatively, the details and power of attorney can also be sent via post to SIX Exchange Regulation AG, Listing, Hardturmstrasse 201, P.O. Box, CH-8021 Zurich. The contact details and the power of attorney must be sent to SER in advance, otherwise the registration process cannot be started.

# 3

## Registration/entry

For security reasons, it is only possible to access CONNEXOR® Reporting using a hardware or software token (components for user identification and authentication), as well as a user ID and PIN. We recommend that several people possess a token. In the event of absence due to holidays or illness, for example, this ensures that the reports/announcements can be transmitted to SER in a timely manner.

Please note that it may take a few days to verify a user's registration and activate their CONNEXOR® Reporting account.

To register, the future user must click on the following direct link and click on **"Registration"**: [ser-ag.com/connexorreporting](https://ser-ag.com/connexorreporting).

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

User ID: [Yellow Highlighted Field]

[Continue]

**SIX SIS Ltd.**

Support

Problems with token handling or technical issues?  
Please contact our ServiceDesk between Monday to Friday during 07:00am - 05:00 pm (CET)  
Contact No: +41 (0)58 399 4848 Email: [servicedesk@sixgroup.com](mailto:servicedesk@sixgroup.com)

**CONNEXOR® Reporting:**

[Yellow Highlighted Field]

Help

If you have any problems with the token or technical problems please send an email to [servicedesk@sixgroup.com](mailto:servicedesk@sixgroup.com)  
Should you have questions concerning the reporting requirements, the following e-mail address is at your disposal: [connexor@ser-ag.com](mailto:connexor@ser-ag.com) or you can call SIX Exchange Regulation at: +41 (0)58 399 2913 or +41 (0)58 399 2152

# 3.1

## Step 1

First, the future user must fill the preset fields with their details.



The screenshot shows the 'Your Company Details' section of the CONNEXOR Reporting Registration form. The form includes the following fields: Company Name, Location of the issuer (or the company name), Company Address, Postal Code, City, Country, and Correspondence Language. A 'Next' button is located at the bottom left of the form.

Details of the future user's employer should be entered in the field **"Your Company Details"**. Enter the issuer's details if the future user is an employee of the issuer. If the future user is an author-ised third party, the details entered should not be the issuer's, but those of the company for which the third party works (e.g. "XY Lawyers Ltd").

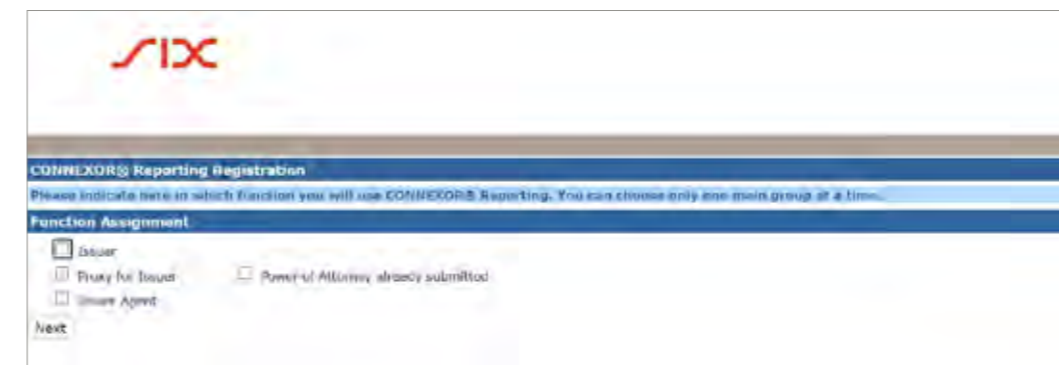
Once the fields are fully and correctly filled out, click on **"Next"**.

# 3.2

## Step 2

The future user then has to enter the function they would like to have when using CONNEXOR® Reporting. Employees of the issuer who would like to register as a future user must select **"Issuer"**.

Third parties (lawyers, consultants, etc.) who are entrusted to fulfil the regular reporting obligations and/or ad hoc publicity obligations must be authorised by the issuer (see section 2 above). Once SER has received the information and the power of attorney, authorised third parties can continue with the registration by selecting **"Proxy for Issuer"** and **"Power of Attorney already submitted"**. It is then possible to click on **"Next"**.



The screenshot shows the 'Function Assignment' section of the CONNEXOR Reporting Registration form. It includes a heading: 'Please indicate here in which function you will use CONNEXOR® Reporting. You can choose only one main group at a time...'. Below this, there are three radio button options: 'Issuer', 'Proxy for Issuer', and 'Power of Attorney already submitted'. A 'Next' button is located at the bottom left of the form.

# 3.3

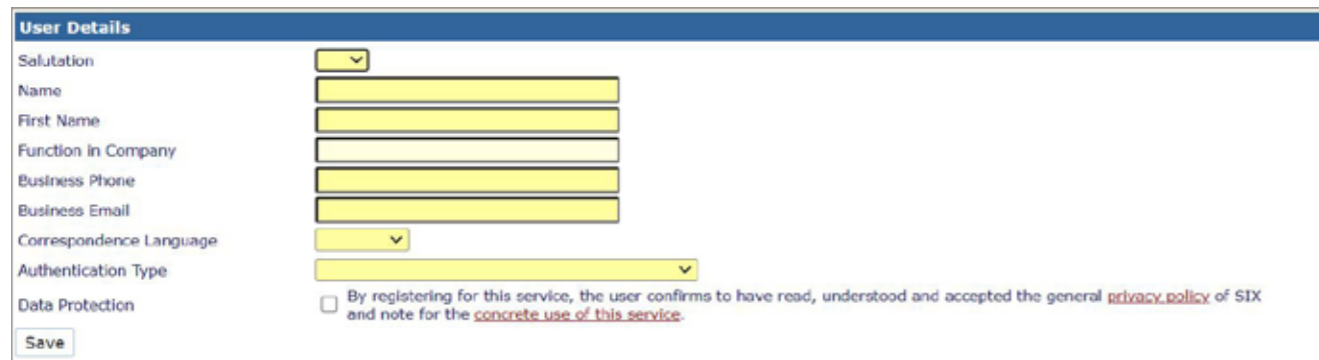
## Step 3

The future user then selects **“Add User”**.



The screenshot shows the 'Add User' form in the CONNEXOR Reporting Registration system. The form has a header 'CONNEXOR Reporting Registration' and a sub-header 'Add User'. Below the sub-header, there are three input fields: 'Name', 'First Name', and 'Business Email'. A 'Next' button is located at the bottom left of the form.

A pop-up window opens and the future user must **enter** their contact details.



The screenshot shows the 'User Details' pop-up window. It contains several input fields: 'Salutation' (a dropdown menu), 'Name', 'First Name', 'Function in Company', 'Business Phone', 'Business Email', 'Correspondence Language' (a dropdown menu), and 'Authentication Type' (a dropdown menu). Below these fields, there is a checkbox for 'Data Protection' with the text: 'By registering for this service, the user confirms to have read, understood and accepted the general [privacy policy](#) of SIX and note for the [concrete use of this service](#).' A 'Save' button is located at the bottom left of the window.

The future user must accept the data protection statement and decide on an **“Authentication Type”**. There are two authentication types: **“RSA Secure ID Token”** or **“Futurae Auth”**. The first is a hardware token from RSA and the second is a software token or mobile app from Futurae. As soon as SER receives the registration, indicating the preferred authentication solution (hardware token from RSA or mobile app from Futurae), the RSA token (hardware token) is sent to the person that the issuer has named to SER as the contact person for the regular reporting obligations and/or ad hoc publicity obligations in accordance with Art. 9 DRRO. The access details for the mobile app from Futurae will be sent directly to the future user as soon as the contact person for regular reporting obligations and/or ad hoc publicity at the issuer has given SER written authorisation. The details must then be saved and the future user can click on **“Next”** once to continue.

# 3.4

## Step 4 (only for authorised third parties)

Authorised third parties will then be asked to select the issuer by clicking on the magnifying glass symbol.

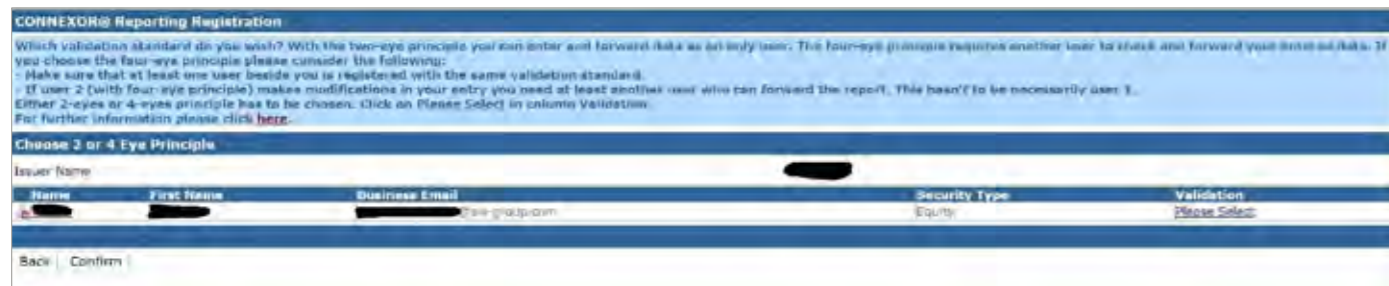


The screenshot shows the 'Add Issuer' form in the CONNEXOR Reporting Registration system. The form has a header 'CONNEXOR Reporting Registration' and a sub-header 'Add Issuer'. Below the sub-header, there is a text input field for 'Choose an Issuer for which Power of Attorney' and a magnifying glass icon. Below this, there is a 'Save Issuer' button. At the bottom of the form, there are three input fields: 'Issuer Name', 'Place', and 'Address'.

# 3.5

## Step 5

Once the authorised third party has selected the issuer or the person employed by the issuer has completed step 3, the future user will be asked to select the validation method.



As part of the registration, the future user must opt for either 2 Eye Principle or 4 Eye Principle. 2 Eye Principle means the user can enter the reports/announcements and send them directly to SER. 4 Eye Principle means one person enters the report/announcement and a second person must **“approve”** it. The second person can also amend the report/announcement. If the user who made the changes has 4 Eye Principle, the report/announcement must be approved by another person, or the report/announcement can be sent directly to SER, if the user has 2 Eye Principle.

The users who enter and send reports/announcements for an issuer can have 2 or 4 Eye Principle. In practice, however, it is impossible for only one person per issuer to register for CONNEXOR® Reporting with 4 Eye Principle, as it would not be possible to send any reports/announcements to SER. We also do not recommend that a company registers two people, both with 4 Eye Principle – if one of these people is absent, the other person would be unable to transmit a report/announcement via CONNEXOR® Reporting.



# 3.6

## Step 6

The last registration step is to select the permission (role). The future user can select **“Adhoc”**, **“Reporting Obligation”** or **“Both”**. Select **“Adhoc”** to transmit ad hoc announcements to SER, to fulfil regular reporting obligations select **“Reporting Obligation”** and to fulfil both obligations, select **“Both”**.

Now the future user can confirm their registration by clicking on **“Save”** and then click on **“Confirm”** to finish their registration.

The registration is then confirmed and the future user receives a confirmation e-mail.



# 4

## Token and PIN

When logging into CONNEXOR® Reporting for the first time, the user must set their personal PIN by following the instructions sent by SIX SIS AG for the RSA Secure ID Self-Service Console or the instructions for the Futurae app. If it is not possible to access the tool, please contact the service desk (servicedesk@sisclear.com, phone: +41 58 399 48 48).

If a user no longer requires their token, SER must be informed immediately via e-mail (connexor-reporting@six-group.com) in order to block and if required, return the token. In certain circumstances it may be possible to “transfer” the token to a new user. SER must be contacted regarding this via the e-mail address above. SER must also be informed immediately if a token is lost.

# 5

## Registered users

People who already have a CONNEXOR® Reporting login and would like to expand their existing role with an additional role or deregister existing roles are requested to contact the following address (connexor-reporting@six-group.com, phone: +41 58 399 29 13 / +41 399 21 52).

Authorised third parties who already have a CONNEXOR® Reporting Login and want to add another role to their existing role must register under the following direct link [ser-ag.com/connexorreporting](https://ser-ag.com/connexorreporting) and follow the above instructions for registration in the same way.





