

[non-binding translation]

Overview of the regular reporting obligations of issuers with a primary listing

event	note	deadline	documents	BX addressees
ordinary General Meeting of Shareholders (OGM)	<ul style="list-style-type: none"> OGM must be held within six months after the end of the financial year 	<ul style="list-style-type: none"> 2 months in advance 	<ul style="list-style-type: none"> disclosure OGM date closing date of share register 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com
extraordinary General Meeting of Shareholders (EGM)		<ul style="list-style-type: none"> once set 	<ul style="list-style-type: none"> disclosure EGM date 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com
invitation to the GM	<ul style="list-style-type: none"> invitation in the Swiss Official Gazette of Commerce (SOGC) at least 20 days before the GM for registered shares, a direct invitation to all individual shareholders is also permissible recommendation: publication of proposals of the board of directors 	<ul style="list-style-type: none"> no later than 20 calendar days before GM 	<ul style="list-style-type: none"> invitation, agenda items and proposals of the board of directors 	<ul style="list-style-type: none"> zulassung@bxswiss.com
resolutions of the GM		<ul style="list-style-type: none"> no later than one trading day after GM 	<ul style="list-style-type: none"> resolutions according to the agenda 	<ul style="list-style-type: none"> zulassung@bxswiss.com
distributions	<ul style="list-style-type: none"> dividends repayment of nominal value bonus shares dividends in kind 	<ul style="list-style-type: none"> no later than one trading day after GM 10 days before distribution 	<ul style="list-style-type: none"> modalities amount (per share and total) record date ex-date pay date 	<ul style="list-style-type: none"> zulassung@bxswiss.com zulassung@bxswiss.com handel@bxswiss.com
change of auditors		<ul style="list-style-type: none"> within 5 trading days after entry in the commercial registry 	<ul style="list-style-type: none"> auditors (old/new) 	<ul style="list-style-type: none"> zulassung@bxswiss.com
change of board members / contact persons	<ul style="list-style-type: none"> observe ad hoc provisions 	<ul style="list-style-type: none"> immediately 	<ul style="list-style-type: none"> form contact persons 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com offenlegung@bxswiss.com

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amendments to the statutes		<ul style="list-style-type: none"> no later than one trading day after GM 	<ul style="list-style-type: none"> certified copy of the new statutes protocol of the OGM / EGM copy of information to shareholders / publication with indication of addressees 	<ul style="list-style-type: none"> zulassung@bxswiss.com originals by postal mail
additional reporting obligations in special cases of amended statutes:				
opting clause	<ul style="list-style-type: none"> without opting clause in the statutes, the compulsory offer is effective at 33.33 % of the voting rights opting up to 49 %, opting out is possible 	<ul style="list-style-type: none"> within five trading days after GM 	<ul style="list-style-type: none"> opting clause (old/new) 	<ul style="list-style-type: none"> zulassung@bxswiss.com offenlegung@bxswiss.com handel@bxswiss.com
restricted transferability provisions	<ul style="list-style-type: none"> influence on mandatory offer to be considered 	<ul style="list-style-type: none"> within five trading days after GM 	<ul style="list-style-type: none"> description pursuant to Article 125 ff. of the FMIA 	<ul style="list-style-type: none"> zulassung@bxswiss.com offenlegung@bxswiss.com
capital measure	<ul style="list-style-type: none"> capital increase creation / deletion of approved and conditional capital capital reduction share split, reverse split introduction /abolition of share categories change of the rights associated with the share convertible bonds 	<ul style="list-style-type: none"> within 5 trading days after decision or entry in commercial registry (if necessary) 	<ul style="list-style-type: none"> description record date, if applicable ex-date, if applicable ISIN / security number, if applicable new number/ nominal value, if applicable 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com offenlegung@bxswiss.com
capital increase	<ul style="list-style-type: none"> a listing application must be submitted for newly created shares 	<ul style="list-style-type: none"> immediately after entry in the commercial registry of capital that must be paid in 	<ul style="list-style-type: none"> listing application issuance prospectus new statutes certified excerpt from the commercial registry 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com offenlegung@bxswiss.com
change of names / company		<ul style="list-style-type: none"> within 5 trading days after entry in the commercial registry 	<ul style="list-style-type: none"> disclosure name/company (old/new) disclosure ticker (old/new) disclosure ISIN / security number (old/new) disclosure website (old/new) 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com offenlegung@bxswiss.com
relocation of headquarters		<ul style="list-style-type: none"> within 5 trading days after entry in the commercial registry 	<ul style="list-style-type: none"> new address(es), date new contact details, date 	<ul style="list-style-type: none"> zulassung@bxswiss.com handel@bxswiss.com offenlegung@bxswiss.com
balance sheet date		<ul style="list-style-type: none"> immediately 	<ul style="list-style-type: none"> reporting date (old/new) 	<ul style="list-style-type: none"> zulassung@bxswiss.com

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ad hoc disclosures	<ul style="list-style-type: none"> ▪ ad hoc disclosures must be published outside of trading hours and no later than 60 minutes before the start of trading (60 minutes rule) ▪ price-relevant are new facts which could lead to a significant change in the prices (no final list) ▪ there are no fixed limit values or percentages, the assessment must always be made on a case-by-case basis ▪ always subject to the ad hoc reporting obligation are: <ul style="list-style-type: none"> ▪ changes in the board of directors / management ▪ corporate figures ▪ change of accounting and financial reporting standards applied ▪ preliminary clarifications with the stock exchange are always recommended ▪ ad hoc disclosures must be published at least in two electronic media and two Swiss newspapers, and on the issuer's website, and must be sent to any interested party upon request 	<ul style="list-style-type: none"> ▪ 17:31 - 07:59 	<ul style="list-style-type: none"> ▪ ad hoc disclosure 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com ▪ handel@bxswiss.com
urgent ad hoc disclosures	<ul style="list-style-type: none"> ▪ ad hoc disclosures that cannot wait until the end of the trading hours, for example due to potentials information leaks ▪ publication during trading hours or in violation of the 60 minutes rule (08:00-17:30) 	<ul style="list-style-type: none"> ▪ preliminary clarification and agreement by phone ▪ at least 60 minutes before publication 	<ul style="list-style-type: none"> ▪ ad hoc disclosure 	<ul style="list-style-type: none"> ▪ +41 (0) 31 329 40 40 ▪ zulassung@bxswiss.com ▪ handel@bxswiss.com
media releases	<ul style="list-style-type: none"> ▪ information not relevant to the prices 	<ul style="list-style-type: none"> ▪ as a precaution, same as ad hoc disclosures 	<ul style="list-style-type: none"> ▪ media release 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com ▪ handel@bxswiss.com
media conference	<ul style="list-style-type: none"> ▪ for example, for annual results: usually short summary as ad hoc disclosure before 08:00 and media conference later that day 	<ul style="list-style-type: none"> ▪ preliminary clarification and agreement by phone 	<ul style="list-style-type: none"> ▪ ad hoc: summary ▪ media release 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com ▪ handel@bxswiss.com
website: path change investor relations / media		<ul style="list-style-type: none"> ▪ no later than 2 trading days prior to activation 	<ul style="list-style-type: none"> ▪ general website issuers ▪ directory ad hoc disclosures ▪ directory financial reports ▪ corporate calendar 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com ▪ handel@bxswiss.com

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annual report	<ul style="list-style-type: none"> ▪ annual report (audited) ▪ shareholders must have the option to obtain it, or publication on the website 	<ul style="list-style-type: none"> ▪ within six months after completion, at the latest on publication 	<ul style="list-style-type: none"> ▪ annual report with audit report (individual financial statements and consolidated) 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com
interim reports	<ul style="list-style-type: none"> ▪ semi-annual report (unaudited) ▪ shareholders must have the option to obtain it (also possible via website) or the semi-annual report must be sent to them 	<ul style="list-style-type: none"> ▪ within four months after completion, at the latest on publication <p>for investment companies:</p> <ul style="list-style-type: none"> ▪ within two months after completion, at the latest on publication <p>for banks and securities dealers:</p> <ul style="list-style-type: none"> ▪ special legal provisions 	<ul style="list-style-type: none"> ▪ interim report with the same accounting and financial reporting principles applied as to the annual financial statements 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com
investment companies: change of investment policy / remuneration model		<ul style="list-style-type: none"> ▪ no later than 1 month before entry into force 	<ul style="list-style-type: none"> ▪ investment policy (old/new) ▪ remuneration model (old/new) ▪ ad hoc disclosure, if applicable 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com
change of paying agent		<ul style="list-style-type: none"> ▪ no later than 1 month before entry into force 	<ul style="list-style-type: none"> ▪ new contract with paying agent 	<ul style="list-style-type: none"> ▪ zulassung@bxswiss.com
disclosure of shareholdings	<ul style="list-style-type: none"> ▪ Pursuant to Article 120 of the FMIA, investors must disclose shareholding to the company and to the BX within 4 trading days. ▪ For this purpose, they must use the forms on the website: https://www.bxswiss.com/ols/ ▪ The company publishes the disclosure via the disclosure tool: https://www.bxswiss.com/ols/ 	<ul style="list-style-type: none"> ▪ no later than 2 trading days after receipt of the investors' reporting 	<ul style="list-style-type: none"> ▪ disclosure notice via the BX website 	<ul style="list-style-type: none"> ▪ offenlegung@bxswiss.com

**disclosure of
management transactions
(clause 18 Listing Rules)**

- Members of the board of directors or management of companies listed on the BX (even if they took over the functions only temporarily) must report transactions/contractual obligations pursuant to clause 18.3 of the Listing Rules to the BX.
- After that, the company must report it to the BX by using the respective form on the website www.bxswiss.com/disclosures.
- Companies double-listed on the BX which have a primary listing on the SIX Swiss Exchange must only notify the BX via email that they reported it to the SIX Swiss Exchange
- reporting to the issuer by members of the board of directors and management: no later than 2 trading days after completion of the transaction, or after completion of the contractual obligation
- reporting to the BX by the issuer: no later than 3 trading days after the issuer received the disclosure
- reporting of management transaction via form”
- offenlegung@bxswiss.com