

[non-binding translation]

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

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

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

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

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

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**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](http://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](mailto:offenlegung@bxswiss.com)
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