



Media Release

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SIX Exchange Regulation
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Corinne Riguzzi New Head Surveillance & Enforcement

Ms Corinne Riguzzi has taken over as the new Head Surveillance & Enforcement, the trading surveillance unit at SIX Exchange Regulation. Surveillance & Enforcement oversees trading on the exchanges SIX Swiss Exchange and Scoach Switzerland in such a way that permits breaches of regulations, infringements of the law and other irregularities to be identified and the appropriate action to be taken or initiated.

SIX Exchange Regulation is responsible for monitoring trading and for issuer regulation at SIX Exchange Regulation and Scoach Switzerland. Under the system of self-regulation which applies in Switzerland, SIX Exchange Regulation fulfils the tasks assigned to it under the law. Separated organizationally from SIX Swiss Exchange and Scoach Switzerland, SIX Exchange Regulation is an independent entity with its own staff. It reports directly to the Chairman of the Board of Directors of SIX Group.

SIX Exchange Regulation comprises two units: Surveillance & Enforcement (which regulates and monitors participants and traders) and Listing & Enforcement (which regulates and monitors issuers).

Surveillance & Enforcement has been headed by Corinne Riguzzi since 1 August 2012. She has also taken her seat on the Management Committee of SIX Exchange Regulation. She is a lawyer with trading experience, and has worked for Surveillance & Enforcement since 2006, most recently as its deputy head. Surveillance & Enforcement oversees trading on SIX Swiss Exchange and Scoach Switzerland in such a way that permits breaches of regulations, infringements of the law and other irregularities to be identified and the appropriate action to be taken or initiated. The unit maintains close contact with FINMA and with the criminal prosecution authorities.

Listing & Enforcement, which is headed by Stefan Lüchinger, is responsible for all aspects of the listing of financial products and for issuer compliance with the rules and regulations. These include listing in itself, compliance with the provisions governing financial reporting and corporate governance, the fulfilment of regular reporting obligations, the publication of price-sensitive information, and the disclosure of shareholdings and management transactions.



Should you have any questions, please feel free to contact Jürg Schneider, Media Relations.

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SIX Exchange Regulation

SIX Exchange Regulation performs the functions assigned under Swiss federal law and enforces and monitors compliance with the rules laid down by the Regulatory Board. SIX Exchange Regulation imposes sanctions in so far as it is authorised to do so by the regulations, or submits sanction requests to SIX Swiss Exchange's Sanction Commission.

SIX Exchange Regulation's independence from SIX Swiss Exchange's operating business is guaranteed by its direct subordination to the Chairman of the Board of Directors of SIX Group. SIX Exchange Regulation consists of the divisions Listing & Enforcement, responsible for regulating issuers, and Surveillance & Enforcement monitoring trading.

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SIX operates Switzerland's financial market infrastructure and offers on a global scale comprehensive services in the areas of securities trading, clearing and settlement, as well as financial information and payment transactions. The company is owned by its users (approximately 150 banks of various size and orientation) and, with its workforce of more than 3,900 employees and presence in 25 countries, generated an operating income of 1.26 billion Swiss francs and a Group net income of CHF 218.6 million in 2011.

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