

## Media Release

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### Investigation against ASMALLWORLD AG

**SIX Exchange Regulation AG has opened an investigation against ASMALLWORLD AG for a possible violation of provisions regarding the disclosure of management transactions.**

After having completed a respective preliminary investigation, SIX Exchange Regulation AG has opened an investigation against ASMALLWORLD AG for possible violations of the rules on the disclosure of management transactions. The investigation is based on the suspicion that ASMALLWORLD AG did not take action against persons who had infringed their reporting obligation and that it did not take all precautions to prevent the infringement of the rules on the disclosure of management transactions.

The duration of the investigatory proceedings is not determined. SIX Exchange Regulation AG will inform on the outcome of the proceedings. No information will be provided about the ongoing proceedings.

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

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**SIX Exchange Regulation AG** 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 AG imposes sanctions in so far as it is authorized to do so by the regulations, or submits sanction requests to SIX Swiss Exchange's Sanction Commission.

SIX Exchange Regulation AG's independence from SIX Swiss Exchange's operating business of SIX Swiss Exchange AG and SIX Repo AG is guaranteed by its direct subordination to the Chairman of the Board of Directors of SIX. SIX Exchange Regulation AG consists of the divisions Listing & Enforcement, responsible for regulating issuers, and Surveillance & Enforcement monitoring trading. [www.six-exchange-regulation.com](http://www.six-exchange-regulation.com)

**SIX** operates and develops infrastructure services in the Securities & Exchanges, Banking Services and Financial Information business units with the aim of raising efficiency, quality and innovative capacity across the entire value chain of the Swiss financial center. The company is owned by its users (127 banks). With a

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workforce of some 2,600 employees and a presence in 20 countries, it generated operating income in excess of CHF 1.9 billion and Group net profit of CHF 221.3 million in 2018. [www.six-group.com](http://www.six-group.com)