

## Media Release

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### **SIX Exchange Regulation AG applies for authorization as a Prospectus Office**

On 6 November 2019, the Federal Council brought the new Financial Services Act (FinSA) as well as its implementing ordinance, the Financial Services Ordinance (FinSO), into force with effect from 1 January 2020. The new legal provisions will standardise the prospectus rules for all securities offered publicly or traded on a trading venue.

A prospectus must contain the essential information for the investor's decision-making, namely information relating to the issuer and the rights, obligations and risks associated with the securities. Prospectuses now have to be reviewed by a Prospectus Office authorized by the Swiss Financial Market Supervisory Authority (FINMA).

SIX Exchange Regulation AG (SER AG) has submitted an application for authorization as a Prospectus Office. As an autonomous and independent body within SIX, SER AG regulates and monitors participants and issuers on SIX trading venues. One of its many diverse tasks is the admission of securities. SER AG already has many years of experience in this, and its specialist expertise in prospectus review for listed companies and securities is unique on the market.

Within the context of prospectus review and listing, in future SER AG will continue to be able to offer all services for the Swiss financial centre and for international clients efficiently under one roof.

SIX operates the infrastructure for the Swiss financial centre and guarantees outstanding trading, listing and post-trading solutions. The services of the future Prospectus Office SER AG will be integrated seamlessly into the SIX strategy.

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

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**SIX Exchange Regulation AG** is one of the Regulatory Bodies of the SIX trading venues. It performs the functions assigned under Swiss federal law and enforces the rules laid down by the Regulatory Board, and monitors compliance with legal and regulatory requirements. As part of its diverse remit, SIX Exchange Regulation AG submits proposals for sanctions to the Sanctions Commission or can enact sanction notices. SIX Exchange Regulation AG is directly subordinated to the Chairman of the Board of Directors of SIX Group Ltd, guaranteeing the independence of SIX Exchange Regulation AG from the operating business of SIX Swiss Exchange Ltd and SIX Repo Ltd. SIX Exchange Regulation AG consists of the divisions Listing & Enforcement, responsible for regulating issuers, and Surveillance & Enforcement, which monitors 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 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)