

Regulatory Board Communiqué No. 4/2018

of 11 May 2018

Partial revision of Listing Rules as well as Rule Books for SIX Swiss Exchange Ltd, SIX Corporate Bonds Ltd and SIX Repo Ltd

I Background

The EU's General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC; hereinafter "GDPR") enters into force on 25 May 2018. The new rules have a direct impact on Swiss companies that operate in the EU or have staff who are resident in an EU Member State.

They serve exclusively to protect data on natural persons. Such data may only be processed with the prior consent of the person concerned, although Art. 6 GDPR provides for exceptions to this rule.

II Amendments to Listing Rules and Rule Books

Issuers, guarantors, sponsoring securities dealers, recognised representatives and participants forward data on their staff or agents to SIX Exchange Regulation Ltd on the basis of legal and regulatory requirements. SIX Exchange Regulation Ltd processes these data. They may be used in investigations or sanction proceedings or forwarded to third parties, e.g. FINMA, criminal prosecution authorities or courts. The Regulatory Board has introduced a new duty to provide information in the Listing Rules (LR) and the Rule Books for the SIX Group Ltd trading venues (SIX Swiss Exchange Ltd, SIX Corporate Bonds Ltd and SIX Repo Ltd) in order to ensure that the relevant information on the persons concerned is protected.

Issuers, participants etc. must inform their staff and agents that (i) their data are forwarded to SIX Exchange Regulation Ltd, (ii) SIX Exchange Regulation Ltd processes these data, (iii) the data may be used in sanction proceedings, and (iv) they may be forwarded to third parties.

In addition, minor changes have been made to the wording of the provisions on confidentiality in the Rule Books.

III Entry into force

The revised Listing Rules (Art. 8b) and the revised Rule Books for SIX Swiss Exchange Ltd (Points 21 and 22), SIX Corporate Bonds Ltd (Points 19 and 20) and SIX Repo Ltd (Points 25.0 and 26.0) enter into force on 25 May 2018.

The [Communiqués published by the Regulatory Board](#) are available on the internet in German, French and English. Go to [Online Services](#) to subscribe free of charge.