

[non-binding translation]

## **Directive to the regular reporting obligations for collective investment schemes**

### **1. Purpose and subject matter**

- 1.1. This directive lays down the issuers'<sup>1</sup> regular reporting obligations for collective investment schemes (CIS) in the context of maintaining the listing.
- 1.2. Within the meaning of this directive, CIS are instruments which are listed on the BX (segment BX Swissfunds) in compliance with the listing rules for collective investment schemes.
- 1.3. This directive specifies the reportable facts, the reporting deadlines and in which way and form the disclosures must be submitted.
- 1.4. This directive applies in addition to any other reporting obligations of the competent supervisory authorities or the BX.

### **2. Content and form of the disclosure**

- 2.1. A disclosure must clearly state the reason for the disclosure, the company which is subject to the reporting obligation, the CIS concerned, the names of the persons responsible for transmitting the information (including contact details), the date of the disclosure and the effective date of the reportable facts.
- 2.2. The reportable facts, the respective content and the deadlines are laid down in table 1 in the appendix.
- 2.3. The reportable facts according to table 1 must be communicated to the BX either via email to [zulassung@bxswiss.com](mailto:zulassung@bxswiss.com), or by publishing it independently via the BX Swiss reporting platform.

### **3. Form of the publication by the BX**

- 3.1 The BX publishes the disclosures as Official Notices on its website or via other electronic media that the BX deems appropriate.

### **4. Entry into force**

- 4.1 This directive was adopted by the admission office and enters into force on 1 October 2018.

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<sup>1</sup> Fund management or management company

Table 1 – Overview of the regular reporting obligations for collective investment schemes

clause	reportable fact	time of disclosure	content of the disclosure
<b>1</b>	<b>regular reporting obligations concerning information about relevant parties</b>		
1.1	change of the issuer's name (change of company) or of the name of the collective investment scheme	within 5 trading days after entry into legal force	<ul style="list-style-type: none"> <li>• name old/new</li> <li>• website old/new</li> <li>• copy of excerpt from the commercial registry and of the disclosure to the FINMA</li> </ul>
1.2	change of address of headquarters/location of administration	within 5 trading days after entry into legal force	<ul style="list-style-type: none"> <li>• name; address; PO box; phone number</li> <li>• copy of excerpt from the commercial registry</li> <li>• copy of the disclosure to the FINMA</li> </ul>
1.3	change of the contact person according to clause 3.3. of the Rules for BX Swissfunds, of the legal representative or the billing address	immediately upon occurrence	<ul style="list-style-type: none"> <li>• new contact details</li> </ul>
1.4	changes to web links (URL) or web addresses according to the Official Notice within the meaning of clause 8 of the Rules for BX Swissfunds	immediately upon occurrence	<ul style="list-style-type: none"> <li>• new web link/address</li> </ul>
1.5.	change of paying agent	no later than one day before the change enters into legal force	<ul style="list-style-type: none"> <li>• ISIN of the instrument</li> <li>• information about the previous and about the new paying agent</li> </ul>
<b>2</b>	<b>regular reporting obligations relating to the instruments</b>		
2.1	disclosure of dividends	once determined	<ul style="list-style-type: none"> <li>• ISIN of the instrument;</li> <li>• ex-date</li> <li>• payment date</li> <li>• gross amount per share or information about the type of distribution</li> </ul>
2.2	change of the underlying's currency	once determined	<ul style="list-style-type: none"> <li>• date of exchange adjustment</li> <li>• base currency new/old</li> </ul>
<b>3</b>	<b>regular reporting obligations relating to the General Meeting (GM) for collective investment schemes in the form of SICAV</b>		
3.1	date of the GM	once set	<ul style="list-style-type: none"> <li>• date</li> </ul>
3.2	invitation to the GM	no later than 20 calendar days before GM	<ul style="list-style-type: none"> <li>• agenda items or media release with the same content</li> </ul>
3.3	resolutions of the GM	no later than 1 trading day after GM	<ul style="list-style-type: none"> <li>• agenda items or media release with the same content</li> </ul>