



Media Release

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Sanction Commission fines Banque Profil de Gestion S.A.

The Sanction Commission of SIX Swiss Exchange Ltd. has fined Banque Profil de Gestion S.A. CHF 100,000 for late publication of its 2011 Annual Report and violation of the principle of equal treatment of market participants.

Banque Profil de Gestion S.A. did not publish its 2011 Annual Report through an ad-hoc notice immediately after the report was approved by the Board of Directors, but made it available for its shareholders at its headquarters and distributed it to them at the Annual General Meeting on 24 April 2012. It published the report via an ad-hoc notice only in the evening after the Annual General Meeting. The Sanction Commission held that the 2011 Annual Report contained additional, potentially price-sensitive information that was not included in a media release regarding 2011 financial figures published by the bank on 15 March 2012. It sanctioned the bank for late publication of the Annual Report and violation of the principle of equal treatment of market participants.

The Sanction Commission rated the breach as serious and the behavior of the bank as grossly negligent. The impact of the sanction on the bank was also taken into account in the calculation of the fine.

Should you have any questions, please feel free to contact Dr Alain Bichsel, Head 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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Sanction Commission

The Sanction Commission can impose sanctions in the case of violations of the Rule Books of SIX Swiss Exchange and Scoach Switzerland, the Listing Rules and the Additional Rules. It is composed of between five and eleven members. The Chairman of the Sanction Commission and half of its members are elected by the Regulatory Board, with the remaining members appointed by the Board of Directors of SIX.

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 3,500 employees and presence in 24 countries, generated an operating income of 1.14 billion Swiss francs and a Group net income of CHF 320.1 million in 2012.

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