



# Corporate Responsibility Report 2018



# CEO Statement (102-11/102-14)



“Our commitment to an attractive, competitive and stable Swiss financial center is more essential than ever.”

## Dear readers

Citizens of Switzerland and throughout the world are increasingly calling for politics and business to be oriented towards sustainability. SIX has been pursuing its corporate responsibility strategy since 2015. Our organizational development and our risk and security management are based on the precautionary principle. However, our stakeholders' requirements have increased further. This has prompted us to undertake another critical review of our approach to sustainability.

The renewed dialogue with our clients' and partners' sustainability experts has drawn our attention to new, potentially significant topics and caused us to reprioritize material topics. To sum up: Our commitment to an attractive, competitive and stable Swiss financial center is more essential than ever. As a central, experienced and trustworthy player, we are ideally positioned for this task.

We were digitalizing processes and thus driving the sustainable development of the sector long before the concept became so topical. We now need to adjust our corporate responsibility objectives in line with the higher expectations placed upon us.

Yours sincerely

A handwritten signature in black ink, appearing to be 'JD' with a stylized flourish.

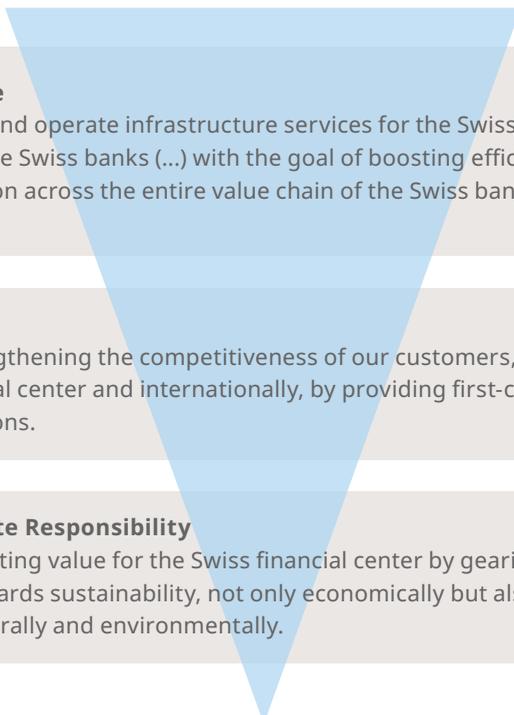
Jos Dijsselhof, CEO

# Corporate Responsibility at SIX

SIX develops and operates the central infrastructure for the Swiss financial center. Our company and our business aim to strengthen the financial center's international competitiveness. This requires a business model geared towards sustainability and longevity.

**S**IX develops and operates infrastructure services for the Swiss financial center. We offer services for the capital market, financial information and banking services, while at the same time building a digital infrastructure for the new millennium. The goal is to boost efficiency, quality and innovation across the entire value chain of the Swiss banking industry.

Our customers and owners – some 120 banks active in the Swiss financial center – have mandated us to do this. The task of SIX is to strengthen the competitiveness of its customers in Switzerland and abroad through the provision of first-class services and innovations. This gives us a corporate responsibility to create sustainable, lasting value for the Swiss financial center.



## SIX Mandate

We develop and operate infrastructure services for the Swiss financial center and the Swiss banks (...) with the goal of boosting efficiency, quality and innovation across the entire value chain of the Swiss banking industry.

## SIX Purpose

We are strengthening the competitiveness of our customers, both in the Swiss financial center and internationally, by providing first-class services and innovations.

## SIX Corporate Responsibility

We create lasting value for the Swiss financial center by gearing our business towards sustainability, not only economically but also ethically, socially, culturally and environmentally.

Our CR strategy is based on three principles, which also define our priority action areas.

1. SIX contributes to the stability and security of the Swiss financial center
2. SIX is a fair and responsible employer
3. SIX is committed to the good of society and protecting the environment

#### **Action Area 1: Stability and Security of the Swiss Financial Center**

As the provider of Switzerland's central financial market infrastructure, SIX has a major responsibility for the stability and security of the financial center. We ensure that our systems function stably and smoothly. After all, without the flow of information we guarantee, the Swiss economy would come to a standstill.

We give top priority to data protection and compliance with current legislation. As a central player, SIX is also optimally positioned to help shape the future of the financial center. We are therefore committed to achieving appropriate, economically sensible general conditions and we develop innovative services for the long-term competitiveness of the financial center.

#### **Action Area 2: A Fair and Responsible Employer**

(102-16)

Nearly 2,600 employees in 20 countries throughout the world work hard each day to ensure the quality and continued development of our services. SIX promotes the diversity of its workforce and respects and protects the personal integrity of all its employees. We are united by shared values: Customer Focus, Collaboration, Trust and Ownership. SIX creates a working environment that provides opportunities for its employees and empowers them to give their best. SIX benefits from the diverse expertise of its workforce and strives to promote this further.

#### **Action Area 3: Committed to the Good of Society and Protecting the Environment**

SIX believes it has a responsibility towards the communities in which it is located. For example, the Swiss Finance Museum at the head office of SIX in Zurich makes a significant contribution by enabling the general public to learn about finance. SIX also supports social and environmental projects via corporate volunteering initiatives at its various European locations. SIX strives to use non-renewable resources responsibly and to reduce its carbon emissions.



Current and additional information on corporate responsibility at SIX can be found at [www.six-group.com/responsibility](http://www.six-group.com/responsibility)

# Dialogue with Stakeholders: Material Topics and New Aspects

In 2018, SIX resumed the exchange with customers and partners about sustainability and stepped up its communication with employees on this topic. The resulting dialogue confirmed material topics relating to corporate responsibility at SIX, as well as identifying new aspects.

**T**hrough its infrastructure, SIX links financial market players in Switzerland and throughout the world.

SIX is owned by around 120 banks that are active in the Swiss financial center. They are the main users of our infrastructure and our most important customers. Our stakeholders also include regulators and national regulatory authorities, companies, political parties and government officials, industry associations, universities and our employees.

## Identifying the Material Topics

(102-42/102-43/102-44)

SIX regards topics as material if they

1. are relevant to the assessments and decisions made by our stakeholders;
2. are closely linked to the core business of SIX and could therefore have significant economic, environmental or social impact.

In 2015, SIX made use of internal workshops and input from selected customers to help it identify the three action areas described in the previous section. SIX is in constant touch with its external stakeholders by means of project-related meetings, membership of and involvement in associations and working groups, and regular customer satisfaction surveys. Employee surveys continually provide valuable feedback. The employee survey conducted in April 2018, for example, was an important stimulus for the further development of the "SIX Spirit" corporate culture.

## Stakeholder Dialogue on Sustainability →

(102-43)

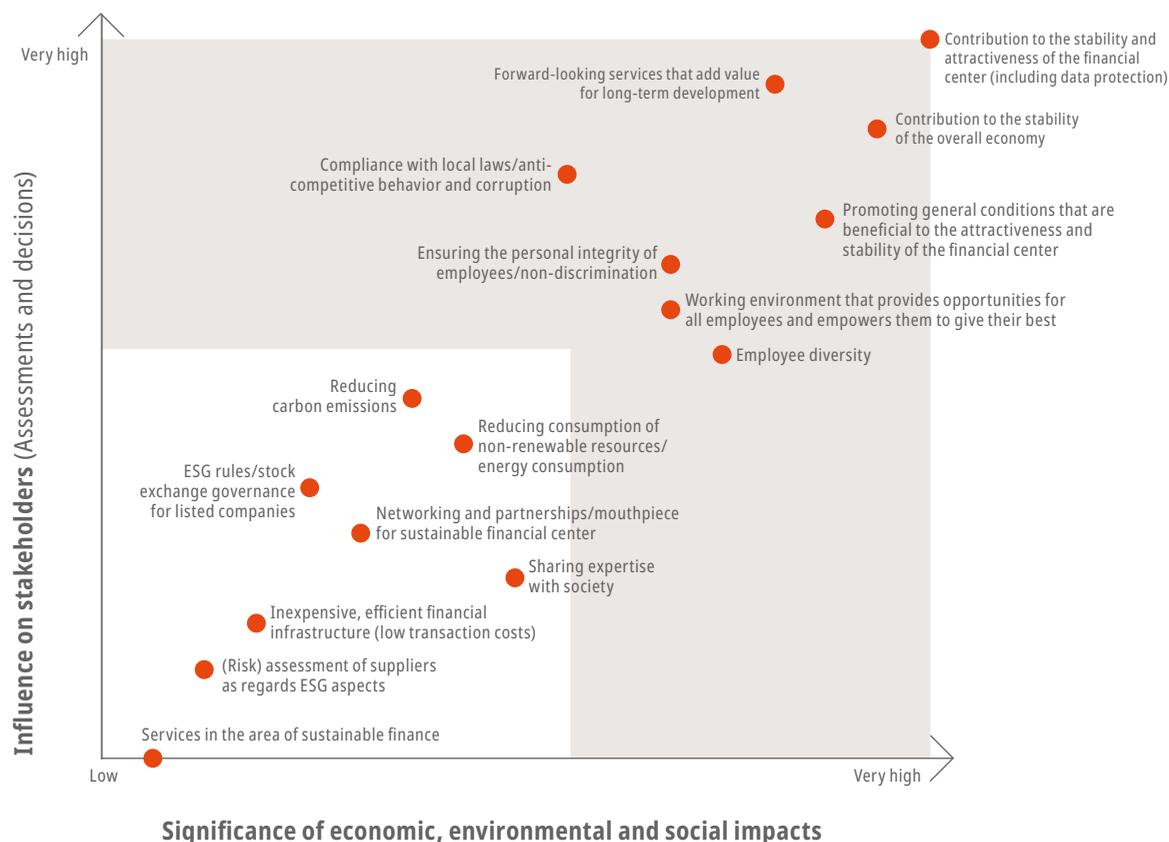
In the reporting year 2018, SIX renewed its dialogue on sustainability in order to evaluate, and where necessary reprioritize, the material topics of its CR commitment. From December 2018 to May 2019, SIX therefore held individual talks with the sustainability officers of its most important customers. In addition, face-to-face discussions took place with two leading representatives of the sustainable investment sector in Switzerland. The French payment services provider Worldline was also included in its capacity as a new strategic partner of SIX. →

In the individual talks, customers and partners judged it to be particularly important for SIX to continue to contribute to the stability and attractiveness of the Swiss financial center. They regard data protection as part of this task. Developing innovative services which generate added value for the sustainability of the financial center has become increasingly important. Customers, partners and the representatives of the sustainability initiatives also stated their expectation that SIX, as a central financial market player, should advocate for economically sensible general conditions. Many see SIX as a possible mouthpiece for a sustainable financial center and accordingly expressed a wish for SIX to network more by means of partnerships in the area of sustainability. >

→ Find an overview of our stakeholders at [www.six-group.com/engagement](http://www.six-group.com/engagement)

→ See SIX Annual Report 2018, p. 8 ff.

## Materiality Matrix



(102-43/102-44) Continued

### Equivalence Remains the Key Theme in the Political Dialogue

As Switzerland's central financial market infrastructure, SIX also has a responsibility to advocate appropriate, economically sensible general conditions, both nationally and internationally. In the reporting year 2018, SIX worked very closely with the Swiss authorities to obtain recognition from the EU Commission of the equivalence of Switzerland's legal and supervisory framework for trading venues with that of the EU for an unlimited period. →

On 20 December 2018, the EU Commission had decided, for political reasons, to recognize the equivalence of Switzerland's legal and regulatory

framework with that of the EU up to the end of June 2019. The Swiss legal framework had already been judged to be equivalent numerous times by the EU technical authorities.

Since the European Commission had not yet extended Switzerland's status as an "equivalent third country" by the cut-off date of 30 June 2019, the ordinance adopted by the Swiss Federal Council to safeguard the interests and strengthen the functioning of the Swiss capital market entered into force on 1 July 2019. The Federal Council's measure creates a new "recognition regime" for foreign trading venues trading Swiss equities: FINMA recognizes a foreign trading venue only if the country in which it is located allows securities firms regis- >

→ See SIX Annual Report 2018, p. 15

**(102-43/102-44) Continued**

tered in that country to conduct unrestricted trading in Swiss equities in Switzerland. Otherwise, the trading venue may no longer trade Swiss equities. This now applies to all trading platforms in the EU. Since this means that Swiss equities are no longer available on trading venues within the EU and are therefore no longer subject to the EU trading obligation under MiFIR (art. 23), market participants from the EU can continue to trade Swiss equities on the Swiss domestic market. →

The Federal Council's measure has so far proved effective and has kept the Swiss market stable. SIX prepared for this eventuality in good time: It established direct links to all its customers so that trading can continue without disruption, and implemented a fast-track process for bringing new market participants on board. However, effective open markets and legal certainty continue to be the highest priority for and of utmost importance to SIX in order to serve best the interests of banks, issuers and investors.

### Key Points from the Internal Dialogue

In 2018, SIX intensified its internal communication on the theme of sustainability: Over two days, the employees located in Zurich had an opportunity to find out about the CR commitment of SIX and to put forward their own ideas and suggestions. A year-long internal campaign on the theme of reducing the use of plastic perceptibly boosted interest in sustainability issues and stimulated people's desire to make a difference. Feedback indicates that lower consumption of non-renewable resources, active environmental protection, and health care and health promotion within the company are particularly important to employees.

(Gender) diversity in the workforce gained a much higher profile thanks to

the creation of an internal Gender Diversity Network, various special events and, last but not least, a new head of Human Resources. Susanne Berger has been head of Human Resources → at SIX since 1 November 2018 and is the first woman member of the Extended Executive Board.

**(102-16)**

An employee survey conducted in April 2018 was an important stimulus for the further development of the "SIX Spirit" corporate culture. For example, it showed that employees would like to be given more responsibility and to collaborate more closely across the different areas of the company. They would also like to receive more appreciation and to see senior managers live the corporate values.

The survey revealed strengths, as well: The team spirit at SIX, the professionalism of employees and processes, clearly defined performance objectives and customer focus. ■

→ Interview with Susanne Berger on page 31 in "Drive! – Our contribution to a competitive Swiss financial center," an integrated annual review published as a supplement to the Annual Report 2018.

Available to download from:

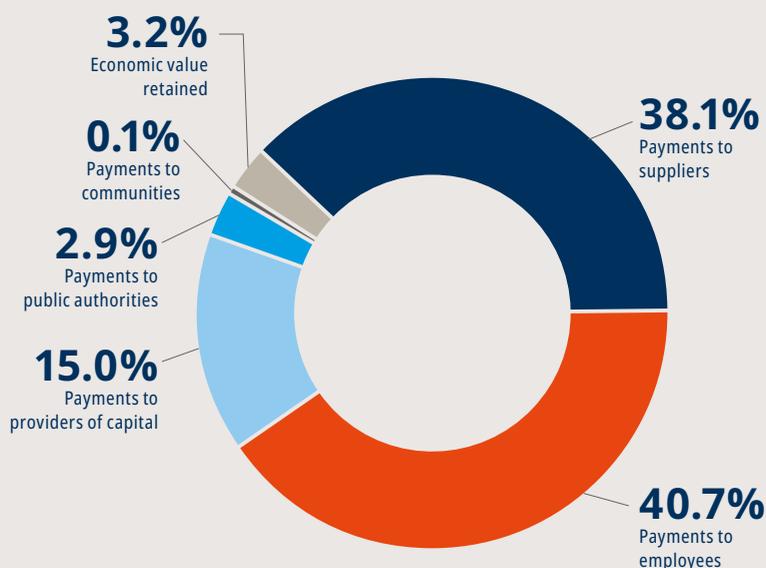
[www.six-group.com/annual-report](http://www.six-group.com/annual-report)

→ Swiss shares with a double listing in the EU (primary or secondary) can still be traded both on SIX and on the EU stock exchange on which they have a double listing. Further information on equivalence recognition can be found online at [www.six-group.com/equivalence](http://www.six-group.com/equivalence)

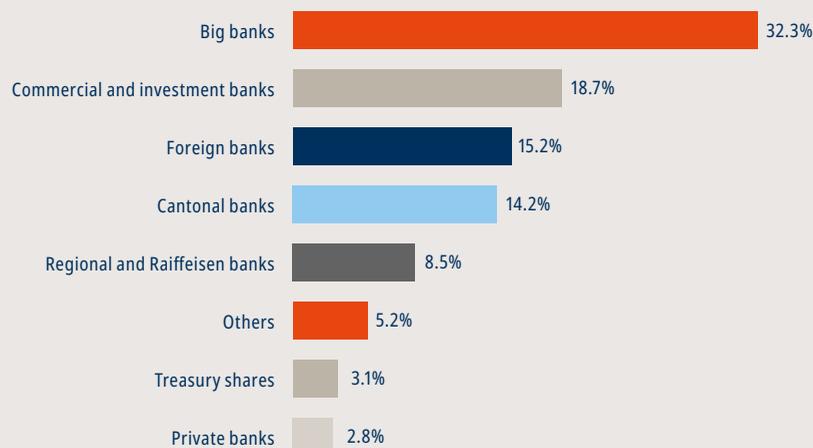
# Overview of Key Figures

CHF **1,151.2** million

is the **DIRECT ECONOMIC VALUE GENERATED** by SIX in 2018. It is composed of the operating income, the financial result, the interest income and the share in the result of associated companies. This benefits all of the company's stakeholders: suppliers, employees, providers of capital, public authorities and communities.



## OWNERSHIP STRUCTURE AS AT 31 JULY 2019:



## EXCHANGE SERVICES

CHF **89.4** billion

**CAPITAL** raised on the Swiss market by companies in 2018 and listed on SIX.

## FINANCIAL INFORMATION

**32.4** million

**FINANCIAL INSTRUMENTS** are covered in the data universe of SIX.

## BANKING SERVICES

**610.5** million

**TRANSACTIONS** were processed by the SIX interbank clearing system in 2018.

We drive the competitiveness of our customers in Swiss and international financial markets.



Integrated Annual Review  
supplementing the 2018 Annual Report.  
[www.six-group.com/annual-report](http://www.six-group.com/annual-report)

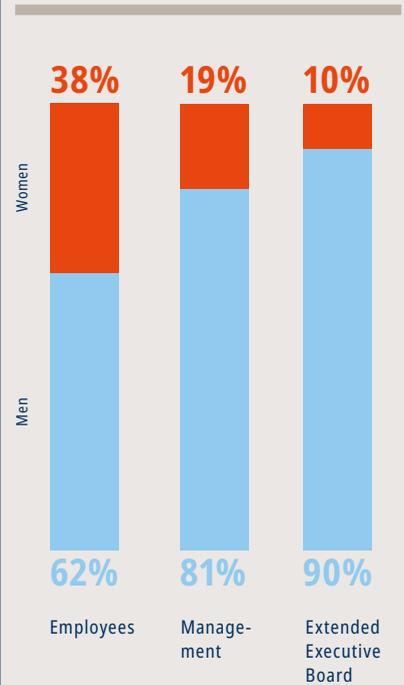
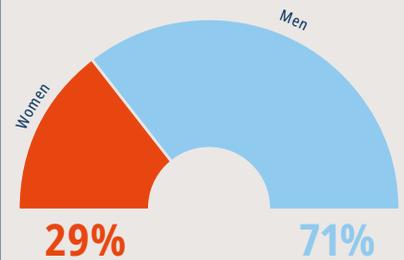
SIX IS PRESENT IN 20 COUNTRIES



NUMBER OF EMPLOYEES OF SIX  
AS AT 31 DECEMBER 2018



GENDER DISTRIBUTION AT SIX



**8,353**  
visitors

showed an interest in the history of the Swiss financial center in 2018 and visited the Swiss Finance Museum.

**30**

start-ups commenced the Accelerator Program of the F10 Incubator & Accelerator in 2018.

**Zurich**  
**Singapore**  
**Vienna**

were the locations for a HACKATHON in 2018 in collaboration with SIX.

**-70%**  
heating energy

**-40%**  
power consumption

**-60%**  
water consumption

Reduction in resource consumption in 2018 resulting from consolidation of sites in Zurich compared with average consumption in 2015/16.

**677g CO<sub>2</sub>e**  
per employee 2018

CO<sub>2</sub> emissions 2018 from the largest locations in Zurich and Olten and from business flights (continuing operations)

# Action Area “Stability and Security of the Swiss Financial Center”

SIX operates Switzerland’s central financial market infrastructure, thus contributing significantly to the security, stability and innovative capacity of the Swiss economy as a whole. Maintaining and fostering the Swiss financial center’s international competitiveness is part of our mandate.

**S**IX has many years of expertise when it comes to operating a secure, stable and regulated financial market infrastructure and ensuring a fair competitive environment. As the operator of the Swiss stock exchange and of system-critical payment and securities settlement systems, we must ensure that our systems are efficient and function without interruption. Data protection and the security and availability of the systems are therefore given top priority.

As a central player in the Swiss financial center, SIX is also optimally positioned to take an active role in future-proofing it and driving innovation forward. In addition, SIX regards itself as having a corporate responsibility to advocate for appropriate, economically sensible general conditions, both nationally and internationally. This includes membership of and involvement in relevant organizations which promote the sustainable development of the Swiss financial center.

## Contribution to the Stability of the Entire Economy

(103-1/103-2/103-3)

SIX operates Switzerland’s central financial market infrastructure, thus ensuring the flow of information and money between banks and other financial market participants. The smooth handling of payments and securities transactions is crucial to the Swiss economy. Disrup-

tions may lead to severe credit and liquidity problems as well as jeopardizing the stability of the financial system and Switzerland’s international competitiveness.

SIX provides infrastructure services in the securities business, banking services and financial information. As part of SIX, the interbank payment system SIC is connected to the trading system of the Swiss stock exchange and the system for processing and settling securities. This infrastructure, which is known as the Swiss Value Chain, is unique in Europe. Integrated payment processing improves the banks’ liquidity, thus speeding up payment and making securities transactions particularly efficient, stable and secure.

All entities of SIX engaged in securities trading and securities settlement are supervised by the Swiss Financial Market Supervisory Authority (FINMA) and are subject to the Swiss Financial Market Infrastructure Act (FMIA). The Swiss National Bank monitors the systemically important infrastructure of SIX and the legal entities which operate it. →

The financial industry faces growing interconnectedness and complexity, increasing regulation and progressive digitalization. SIX confronts these challenges by continuously adapting and developing its risk and security man- >

**SIX ensures the flow of information and money between banks and other financial market participants.**

→ See also  
[www.six-group.com/en/supervision](http://www.six-group.com/en/supervision)

**(103-1/103-2/103-3) Continued**

agement. At the same time, it trains its employees to identify internal and external threats, evaluate them correctly and react to them appropriately.

**(203-2)**

In order to make its contribution to the stability of the Swiss economy as a whole more visible and measurable over time, SIX launched an integrated review of its processes and services for the financial center as part of its reporting in 2018. As a guideline SIX was using the Framework of the International Integrated Reporting Council (IIRC). In "Drive!," a supplement to the Annual Report 2018, SIX demonstrates how and where it contributes to economic growth, as well as to stability, innovation and employment in Switzerland, on the basis of its business model. →

**Strategic and Operating Realignment****(102-10)**

As part of a strategic and operating realignment, in 2018 SIX restructured its core business and moved the cards business, including merchant acceptance and acquiring and international card processing, into a strategic partnership with the French company Worldline. SIX will continue to participate in the success of the outsourced cards business in the future, thanks to its strategic participation in Worldline: With a stake of around 27%, SIX is Worldline's second-biggest shareholder; it is also represented on the Board of Directors through two members and one censor (advisory member without voting rights). In addition to the stake in Worldline owned by SIX, there will be close ties between the two companies – including a long-term partnership for processing debit and ATM transactions in Switzerland, an IT partnership and a shared location in Zurich West.

Since the end of November 2018, the management and over 1,300 employees of SIX Payment Services in Switzerland,

Luxembourg, Austria, Germany, Poland and other locations in Europe have been part of the Worldline organization, although they will continue to operate under the company name "SIX Payment Services" for the time being

By focusing on its core business and outsourcing merchant acceptance and acquiring and international card processing to Worldline, SIX will no longer be active in the B2C business in future; instead, it will concentrate on infrastructure services for banks and innovative ideas for the Swiss financial industry. This focus, together with a solid balance sheet and an equity ratio of 81.9%, enables SIX to invest in its core business and thus continue to respond optimally to the requirements of institutional financial market participants. In so doing, SIX can count on the proven competence of its employees and on dedicated collaboration with a wide range of partners.

**Contribution to the Stability and Attractiveness of the Financial Center (including Data Protection and Cyber Security)****(103-1/103-2/103-3)**

SIX embedded its risk management organization even more firmly in the company during the reporting year. SIX thus aims to respond efficiently and effectively to the massive changes taking place in the financial sector, in order to guarantee the long-term stability and security of the company and of the Swiss financial center. The risk and security management organization serves the whole company, forming the second line of defense in the "three lines of defense" model that is now in standard use within the financial sector:

**1. First Line of Defense**

The first line of defense exists in the business units and corporate functions. It is at this level that employees need to recognize risks and weigh them up appropriately in >

**As a central player in the Swiss financial center, SIX is optimally positioned to take an active role in future-proofing it.**

→ "Drive! – Our contribution to a competitive Swiss financial center." Available to download from: [www.six-group.com/annual-report](http://www.six-group.com/annual-report)

**(103-1/103-2/103-3) Continued**

their day-to-day work. Support is provided by the Legal department, which ensures and monitors compliance with legal, regulatory and internal requirements, assists with all legal questions and handles legal disputes. It is also the central coordinator for contact with authorities. Public & Regulatory Affairs identifies and classifies relevant legislative and regulatory developments promptly, thus ensuring that the company is informed about external changes at the earliest stage possible. The unit is also responsible for representing the interests of SIX in the political debate.

**2. Second Line of Defense**

The company-wide risk and security organization assists and supports the first line of defense with the monitoring and control of critical topics. The unit is also responsible for the reporting of financial and non-financial risks, risk analysis and the central insurance portfolio.

**3. Third Line of Defense**

The Board of Directors and the internal and external auditors constitute the third line of defense. They are responsible for independently monitoring and controlling the risks faced by SIX. At the same time they monitor the internal organization of risk management.

In order to ensure the continuous operation of the systems, the data centers of SIX are equipped with independent and redundant power supplies as standard. In the event of a long-lasting power cut, operations are switched to the backup data center. SIX uses business continuity management to ensure that even in a crisis, its services remain available or can be rapidly restored. SIX has developed business continuity plans for all the relevant

business processes and tests them regularly.

Data protection and the safe handling of information are given top priority. The trend towards digitalization and the growth in cloud-based solutions mean that cyber security is playing an increasingly important role. SIX is facing up to these challenges:

In 2018, SIX split its Compliance department into two teams: "Financial Crime" ensures compliance with relevant economic and financial sanctions and upholds the due diligence obligations relating to insider information, conflicts of interest and corruption. "Data Protection & Corporate" is responsible for handling personal data and sensitive information securely, and investigates internal reports of unethical behavior. SIX expects its employees to be familiar with and to adhere consistently to the internal rules on dealing with confidential data. Employees of SIX must, for example, abide strictly by the "need to know" principle when working with personal data or sensitive information. This states that a person may have access to data only if it is necessary for the performance of their tasks.

In order to provide optimal protection against cyberattacks for the IT network operated on behalf of the Swiss financial center, in 2018 SIX opened the first Security Operations Center (SOC) in Switzerland that focuses exclusively on the sophisticated security needs and regulatory requirements of the financial industry. Potential security risks, known as security events, are gathered, correlated in real time and analyzed in order to detect security incidents and cyberattacks. SIX does not simply use this service to protect its own systems – it also offers it to banks. In particular, this service gives small and medium-sized enterprises in the financial sector access to a security solution that can

**SIX ensures that its systems function stably and smoothly.**



**(103-1/103-2/103-3) Continued**

otherwise only be developed by the big banks. SIX also promotes the exchange of information at national and international level by playing an active role in security communities, committees and expert groups. The Cyber Security Hub enables SIX to offer its customers a networking platform for sharing security-related information and the same cyber threat intelligence that SIX also uses to protect its systems.

**SIX Steadily Creates Value and Distributes It to Its Stakeholders**

Ten years after its foundation, SIX concluded a comprehensive realignment in 2018 (see above). The added value generated from continuing operations, i.e. the directly generated economic value, rose 1.2% compared with the previous year, to CHF 1.15 billion. Positive performance in the securities business made a key contribution, with the Swiss stock exchange recording a high number of IPOs in 2018 and a rise in trading turnover. While payments to employees

remained almost unchanged (+0.1%), payments to suppliers increased significantly (+9.9%). Regular payments to investors (shareholders) were slightly below the previous year's owing to a lower ordinary dividend in 2018; however, on 20 May 2019 the Annual General Meeting approved the proposed special dividend for 2018 because of the extraordinary group net profit resulting from the transaction with Worldline in 2018. The smaller profit from continuing business operations reduced the tax charge (payments to the government, -16.8%). The CHF 0.8 million decrease in community investment compared with 2017 is attributable to two effects: First of all, one-off additional investments were incurred for the redesign of the Swiss Finance Museum when moving into the new location in Zurich in 2017. Secondly, contributions paid in 2017 for memberships attributable to the divested cards business unit could not be levied retroactively and taken into account in the restated figures. >

**Direct Economic Value Generated and Distributed****(201-1)**

in CHF million	2018	2017 restated	Change (absolute)	Change (in %)
<b>1. Direct economic value generated</b>	<b>1,151.2</b>	<b>1,137.8</b>	<b>13.4</b>	<b>1.2%</b>
<b>2. Economic value distributed</b>				
Operating costs (payments to suppliers)	-438.3	-398.7	-39.6	9.9%
Employee wages and benefits (payments to employees)	-468.2	-467.6	-0.6	0.1%
Payments to providers of capital	-172.8	-174.1	1.3	-0.8%
Payments to government	-34.1	-41.0	6.9	-16.8%
Community investments	-1.7	-2.5	0.7	-29.9%
<b>3. Economic value retained</b>	<b>36.1</b>	<b>53.3</b>	<b>-17.3</b>	<b>-32.4%</b>

**Basis for data:**

Continuing operations of SIX, excluding card business. The figures shown for the year 2017 have been restated accordingly. Figures and consolidated entries are in accordance with the consolidated accounts in the consolidated financial statements 2018. Additional internal information has been used.

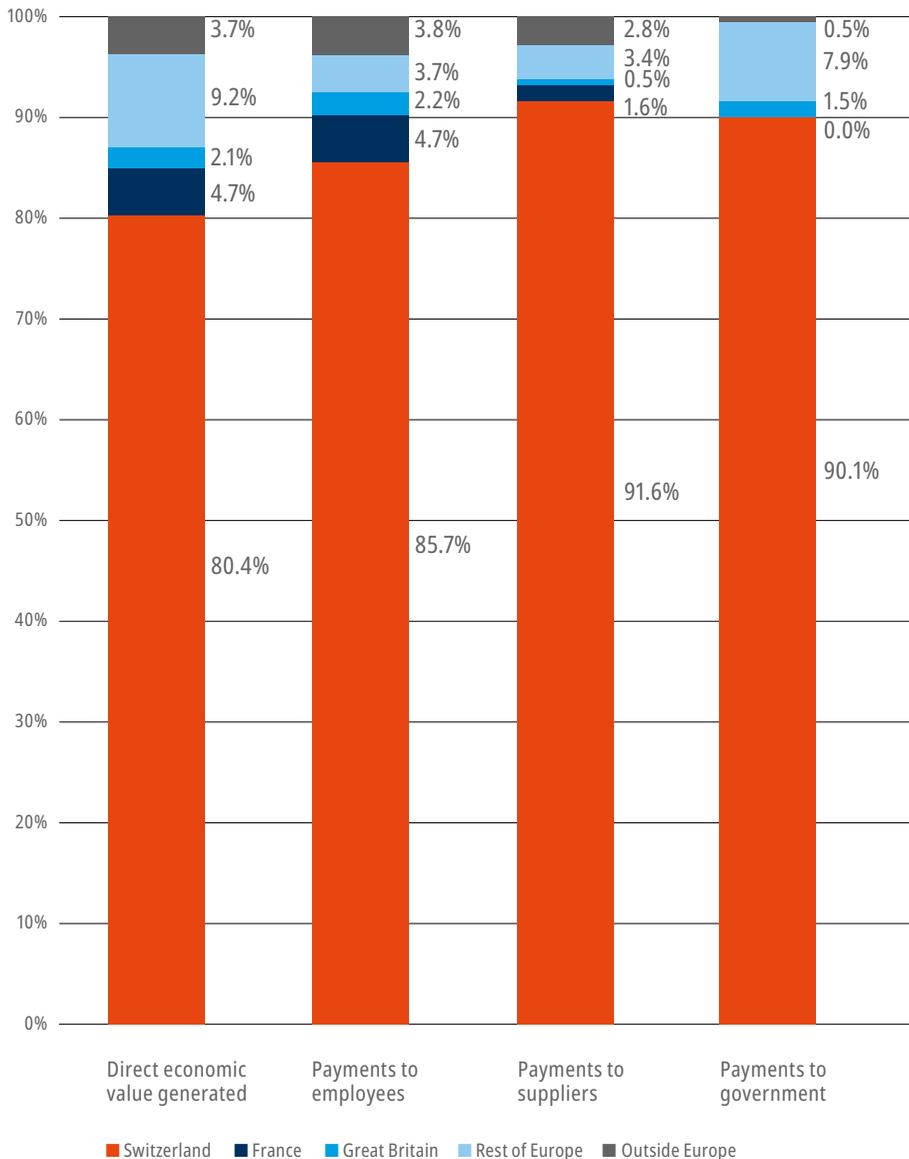
With offices in 20 countries, SIX continues to be a globally networked Swiss company with a worldwide presence. → However, SIX generates and distributes around 80% of the direct value in Switzerland; this is where it makes the majority of payments to employees, suppliers and the government.

**Description of Supply Chain**  
(102-9/102-10)

Group-wide, SIX purchased goods and services from external suppliers totaling CHF 438.3 million in 2018. The majority of this was accounted for by services. The goods procured by SIX primarily encompass the IT hardware SIX requires in order to provide its

→ A list of all the locations and countries in which SIX is present may be found on page 10.

**Regional Distribution: Direct Economic Value Generated and Distributed** (201-1)



With offices in 20 countries, SIX continues to be a globally networked Swiss company with a worldwide presence.

**(102-9/102-10) Continued**

services. SIX mainly sources these goods from renowned international companies that themselves have a CR strategy, e.g. Hewlett Packard and IBM. Overall, SIX sources more than 90% of its goods and services within Switzerland. In 2017, SIX introduced a Code for Suppliers, which sets down binding guidelines for suppliers in matters of business ethics and compliance as well as labor standards and environmental protection. All suppliers and subcontractors are bound by the Code for Suppliers and must behave in accordance with its terms.

In the case of goods produced specifically on the basis of a mandate from SIX, the supplier must be a participant in the Business Social Compliance Initiative (BSCI) and have signed BSCI's Terms of Implementation. Supplier must also undertake to ensure compliance with the BSCI Terms of Implementation on the part of their own suppliers.

**Active Representation of Interests for the Financial Center****(102-13)**

SIX participates in the dialogue between business and politics, at home and abroad. In Switzerland, SIX is in constant communication with the political parties regarding the current development of the Swiss financial market infrastructure and relevant location factors. Each year, SIX draws up responses to consultations that are significant for the Swiss financial center. In 2018, SIX gave financial support to political parties in Switzerland through donations of CHF 48,000 (prior year: CHF 50,000).

SIX is actively involved in both national and international industry organizations and committees, with a view to helping establish and harmonize international standards in the interests of the Swiss financial center, and strengthening the appeal and reputation of the location. →

**(102-12)**

SIX supports the following sustainability charters, principles and initiatives:

- Global Reporting Initiative (GRI), Amsterdam, Netherlands (GRI Community Member)
- Zurich Energy Model, Switzerland

The European Union General Data Protection Regulation (EU GDPR) has been in effect since 25 May 2018. The EU GDPR gives EU citizens the right to control the use of their personal data. SIX must be able to account for the proper use of personal data and to inform those affected about how it uses and processes their data. SIX regularly trains all its employees on how to deal with the requirements of the EU GDPR. This year's Compliance Check – which is mandatory for all employees of SIX annually – includes topical issues such as data protection, information security and conflicts of interest for the first time. A workshop on cross-border compliance topics was also held for IT managers. The subjects covered included the handling of data from regulated entities and data protection in the cross-border context.

**(418-1)**

During the reporting year SIX received no complaints regarding the protection of customer data (2017: no complaints). SIX constantly reviews and improves its organizational and technical measures relating to data protection and information security.

**Compliance with Local Laws****(103-1/103-2/103-3)**

As a globally active company in the financial market, SIX naturally complies with local, national and international laws and regulations. SIX operates within the laws and regulations of the countries in which it operates. We maintain an open, transparent and cooperative partnership with public authorities.

**SIX sources more than 90% of its goods and services within Switzerland.**

→ A current list of all memberships may be found online at: [www.sixgroup.com/engagement](http://www.sixgroup.com/engagement)

**(103-1/103-2/103-3) Continued**

SIX respects internationally recognized human rights and supports compliance with these rights. We have no tolerance for forced, slave or child labor or any other form of exploitation. Our Code for Suppliers requires that these fundamental rights are observed across the entire value chain.

**(102-16)**

SIX encourages its employees not just to ensure that their actions are always legal, but also to do “the right thing” in accordance with the internal directives and the principles of behavior in the SIX Code of Conduct. The Code of Conduct is being completely revised by SIX in the course of 2019. Up to now, it has mainly summarized the contents of the internal directives. A new document is being prepared, which SIX will be able to communicate both internally and externally, showing what SIX stands for and what we are committed to achieving. Alongside topics such as proper competitive behavior and data protection, there will be more focus on the corporate culture.

As usual, SIX held various introductory events and workshops for new employees during the reporting period, introducing them to the most important directives and the SIX Code of Conduct by way of practical examples. This kind of training has long been an integral element of the induction process at SIX. SIX also provides ongoing training on certain compliance issues (competitive behavior, data protection, working hours, etc.) through e-learning courses, and in fall 2019 a special e-learning course on the new Code of Conduct will be launched.

**(419-1)**

With the exception of the following decision of the Federal Administrative Court, SIX was not sentenced in the 2018 reporting year (as in the previous year) to pay any significant fines or to serve any non-monetary fines.

**(206-1)**

On 18 December 2018, the Federal Administrative Court confirmed a sanction imposed by the Swiss Federal Competition Commission (COMCO) in 2010 on SIX Payment Services, the former business unit of SIX in the area of payment transactions using debit and credit cards. The Federal Administrative Court arrived at the conclusion that SIX Group abused its dominant position in the relevant markets in the years 2005 and 2006 by failing to provide external manufacturers of payment terminals with interface information for dynamic currency conversion (DCC). Corresponding provisions were formed for the fines imposed and the costs of the proceedings. In November 2018, SIX transferred the business unit concerned (SIX Payment Services) to Worldline. On 20 June 2019, the parties appealed this ruling to the Swiss Federal Supreme Court.

**(103-1/103-2/103-3)**

SIX does not tolerate any form of corruption and has therefore implemented clear rules of conduct for receiving and giving gifts, invitations and benefits. Internal training sessions are held to teach new employees how to behave in doubtful situations.

The exercise of public offices, political or economic mandates and secondary forms of employment must be disclosed and submitted for approval, where appropriate. SIX always makes donations on a voluntary basis, without any expectation of something in return.

**(205-3)**

No incidents of corruption were reported in the year under review (as in the previous year).

**Forward-looking Services****(103-1/103-2/103-3)**

As a central player in the Swiss financial center, SIX is optimally positioned to take an active role in future-proofing it. In conjunction with its partners, it >

**SIX will revise its Code of Conduct completely and will publish the new version in the course of 2019.**

**(103-1/103-2/103-3) Continued**

strives to develop innovative solutions which add value to the financial center and respond to the current requirements faced by the financial industry. While opportunities are to be found in digitalization in particular, as well as in the continuing development of the global financial markets and in regulation, these factors could also have a rapid and far-reaching impact on the core business of SIX. Only flexible players with a strategic vision will be able to survive.

For this reason, last year SIX set up its new, central business unit Innovation & Digital, which brings together all the activities undertaken by SIX in this area. At the same time, SIX is developing future scenarios to help it make sound decisions about innovation and the development of new products and services. Employees can use an online tool at any time to indicate where they think there is a need for new solutions or where opportunities may exist. When these ideas have potential, SIX uses an internal innovation process to develop solutions as far as the early stage of market maturity and then makes them available to pilot customers who give direct feedback.

Through the corporate venture fund "SIX FinTech Ventures" SIX is investing in start-ups with the potential to open up new perspectives for the financial center. → SIX is also a corporate member and main sponsor of the F10 Incubator & Accelerator and thus supports its Accelerator programs for national and international start-ups.

**(FS7)**

During the reporting year SIX announced its plans for SIX Digital Exchange (SDX) – an exciting project that will enable it to play a pioneering role internationally: Using distributed ledger technology, SIX is building the first fully integrated platform that enables the

trading, settlement and custody of digital assets in real time – while also being secure and regulated. The real, instant transfer of assets in tokenized form releases millions of Swiss francs that are currently tied up as collateral. Tokenized assets may be digitalized securities, digital currencies or even formerly non-bankable assets such as paintings. Banks will soon be able to launch new investment products and enable customers to achieve broadly diversified portfolios, since a token can be divided into any number of parts.

In 2018, SIX also opened its Security Operations Center (SOC). SIX does not simply use this threat intelligence service to protect its own systems – it also offers the service to banks and insurance companies. The SOC works round the clock in Switzerland to identify cyber security events, validate incidents and alert customers to security incidents. Cyber Security Hub participants (banks and insurance companies) can also share relevant cyber security information via a networking platform. This is a key measure to enhance protection against potential cyberattacks

By constructing a platform called Compliance Utility, SIX aims to provide financial institutions with a standard for know-your-customer (KYC) processes and transaction monitoring. SIX will work with Deloitte to set up a service based on a specially developed compliance technology and process platform. KYC processes will be standardized, thus assisting the banks with tasks such as the fight against money laundering or against the financing of terrorism. The first solutions for private banks are expected to be ready for use in the second half of 2019, covering KYC life cycle processes.

In the area of start-ups, and as a corporate member of the F10 Incubator & Accelerator, SIX has so far supported four start-ups with an explicit focus >

**With SDX, SIX is building the world's first fully integrated digital stock exchange.**

→ SIX FinTech Ventures is the Corporate Venture Fund of SIX. More information at: [www.six-group.com/fintech-ventures](http://www.six-group.com/fintech-ventures)

**(FS-7) Continued**

on sustainable solutions. They all completed the F10 Accelerator program between 2017 and 2019:

- **Think Yellow** developed the prototype of a digital platform for Gender Lens Investments.
- **Billte** brought to market a mobile app for paperless bill settlement and organization.
- **Susfinteq**, a start-up from Shanghai, uses artificial intelligence to evaluate the ESG performance of listed companies in China, using publicly available sources.
- **InterlockLedger** from Brazil has set itself the goal of massively reducing the energy consumption of block chain technology, thus exploiting its potential to the full. ■

# Action Area “Fair and Responsible Employer”

SIX offers job security and good working conditions – all in the exciting and dynamic environment of financial technology. Four values shape our corporate culture: Customer Focus, Collaboration, Ownership and Trust. Over the next few years SIX wants to make the working environment even more attractive through flexible working, and promote diversity in the company to an even greater extent.

**A**t the end of 2018, SIX employed nearly 2,600 employees in 20 countries throughout the world. Eight out of ten were working at one of the Swiss locations. 30% of employees were female. One woman in three was working part-time, compared with only one man in ten.

## Working Environment That Provides Opportunities for All Employees and Empowers Them to Give Their Best

(103-1/103-2/103-3)

As an employer, SIX is subject to intense competition from new fintech start-ups, established Swiss banks and direct international competitors. SIX seeks out talented young graduates by using job advertisements containing a clear requirements profile and a modular recruitment process with a varied and flexible testing process. Vacancies are advertised on online job platforms, in the media and through recruiters.

A strong corporate culture and a shared set of values for employees not only encourage the retention of experienced knowledge holders, but also indirectly strengthen the company's brand on the labor market because its employees act as ambassadors. This is why SIX launched the internal “SIX Spirit” campaign in 2018. Employees participate in workshops where they explore the corporate values of SIX in depth. Most of the senior managers attended one of these workshops in 2018.

Another 90 workshops will be held for all employees in 2019 and 2020. SIX thus requires and promotes a customer-oriented way of thinking and working (Customer Focus) and encourages employees to demonstrate initiative and take responsibility (Ownership). The aim is to establish a culture of openness and mutual trust within the company (Trust), thus strengthening cooperation (Collaboration).

In order to enhance the quality of recruitment and our employer branding, a new, internal Recruiting Center was set up in Switzerland in 2018. This will be expanded further in 2019 and will receive administrative support from a new team in Poland. In 2019 SIX launched the “Dream Job Factory” at its annual hackathon. Talented prospective employees can use this digital platform to configure their dream job. They choose their priorities as regards soft skills, corporate values, team competence, working time models and employee benefits. This produces an employer profile that is the right fit with additional, personal information. This not only allowed SIX, as a potential employer, to talk to talented IT specialists in an informal setting, but also enabled valuable knowledge to be gained about the needs and requirements of the young target group. In addition, SIX launched a graduate program in 2017/2018, which will run annually from now on. University graduates spend 18

**SIX benefits from the diverse expertise of its employees and seeks to encourage even more diversity within the company.**

## Overview of Key Employee Data (102-8/102-41)

	Female	Male	Total 31.12.2018 <sup>1</sup>	Total 31.12.2017 <sup>2</sup>	Change
<b>Number of employees</b>					
Permanent	749	1,827	2,576	3,788	-32.0%
Fixed-term	9	9	18	43	-58.1%
<b>Total employees (HC)</b>	<b>758</b>	<b>1,836</b>	<b>2,594</b>	<b>3,831</b>	<b>-32.3%</b>
Part-time	250	195	445	671	-33.7%
<b>Part-time ratio</b>	<b>33.0%</b>	<b>10.6%</b>	<b>17.2%</b>	<b>17.5%</b>	<b>-2.1%</b>
<b>Regional structure</b>					
Switzerland	542	1,496	2,038	2,600	-21.6%
Europe	169	266	435	1,104	-60.6%
Asia	21	17	38	41	-7.3%
North America	23	49	72	74	-2.7%
North Africa	3	8	11	12	-8.3%
<b>Total employees (HC)</b>	<b>758</b>	<b>1,836</b>	<b>2,594</b>	<b>3,831</b>	<b>-32.3%</b>
Employees with collective bargaining agreement			92	964	-90.5%
<b>Collective bargaining agreement ratio</b>			<b>3.5%</b>	<b>25.2%</b>	<b>-85.9%</b>
<b>Employees bound by instructions</b>	<b>331</b>	<b>808</b>	<b>1,139</b>	<b>1,538</b>	<b>-25.9%</b>

Basis for data: All employee data exclude apprentices and trainees, the Board of Directors, commissioners and temporary employees contracted for less than six months.

<sup>1</sup> Continuing business operations, excl. cards business

<sup>2</sup> Total SIX, excl. employees of Adundo SA

A comparison of the key employee data as at the end of 2018 with the figures for the previous year is not very meaningful due to the different data basis.

### (103-1/103-2/103-3) Continued

months gaining an insight into different types of work at SIX, expanding their knowledge by means of an individually tailored course program.

As a globally networked company with a worldwide presence, SIX has much to offer → its new and existing employees, including competitive salaries commensurate with performance, an attractive retirement package with above-average benefits, plus interesting fringe benefits such as two weeks'

paternity leave and subsidized travel to work by public transport. SIX offers flexible working hours based on an annual working time model.

In 2018, SIX successfully passed the ASA system checks of its workplace design and of health and safety in the workplace in accordance with the Swiss guideline on consulting occupational doctors and other occupational safety and health specialists issued by the Federal Coordination Commission for Occupational Safety (FCOS 6508). >

→ Further information on what SIX has to offer its employees may be found at [www.six-group.com/careers](http://www.six-group.com/careers)

**(103-1/103-2/103-3) Continued**

The training and ongoing education programs at SIX are tailored to the individual needs of the employees and comprise several components: The program offered by SIX Academy is reconfigured each year based on the career path model at SIX and/or the required competences. E-learning modules and, where required, external training and professional development courses are also available to employees.

**(404-1) →**

In the reporting year, 1,218 employees, or just under half the total workforce, attended the SIX Academy internal training and ongoing education program, for an average of 13.7 hours (2017: 2,023 participants for 11.1 hours). 93% of the participants came from the Swiss locations (2017: 83%). In 2018, SIX trained a total of 60 staff as commercial or IT specialists in Switzerland and abroad (prior year: 68).

Total training and education costs of SIX (SIX Academy, apprentice training and external group courses) came to CHF 8.03 million in the reporting year (2017: CHF 5.80 million). In addition, SIX contributed a total of CHF 7.61 million (prior year: CHF 5.42 million) towards external training and professional development for individual employees.

**Employee Diversity****(103-1/103-2/103-3)**

From financial market experts to IT specialists, from product managers to compliance specialists: SIX employs people with a huge variety of experience and know-how. Almost a third of the workforce is female; the average age is 45. →

SIX benefits from the diverse expertise of its employees and seeks to encourage even more diversity within the company. Five women from middle management founded a Gender Diversity Network on their own initiative in

2018. Since 2019, SIX has also been a member of Advance – a non-profit organization that aims to increase the proportion of women in management positions in Switzerland.

SIX launched an annual graduate program in 2018, in order to attract talented young people. University graduates spend 18 months gaining an insight into different types of work at SIX, expanding their knowledge by means of an individually tailored course program.

Susanne Berger has been Chief Human Resources Officer since 1 November 2018 and is a member of the Extended Executive Board.

**Ensuring Personal Integrity and Non-Discrimination****(103-1/103-2/103-3)**

SIX has set out clear principles on personal integrity and non-discrimination in its Code of Conduct: SIX does not tolerate any form of discrimination, sexual harassment, or bullying directed at other employees. SIX is committed to safeguarding employees' personal integrity. No employee should be discriminated against on the basis of their background, gender, nationality, age, physical capabilities, sexual orientation or religion. These principles are enshrined in the Group directive "Discrimination, bullying and sexual harassment at the workplace." If employees require advice or support, they can contact Human Resources, Compliance or the external employee counselling service Movis, which offers a free and confidential service to employees for both work-related and personal problems.

Employees who are affected by or witness misconduct can use the whistleblowing tool "Integrity Line" to report incidents anonymously or to ask questions. The tool is available to all employees at any time wherever they may be. SIX takes every entry seriously and handles them confidentially. Compliance >

→ **(404-1/401-1)** The tables with data on training and education (number of hours in internal seminars) at SIX, as well as on new hires and fluctuation at SIX can be found at [www.six-group.com/responsibility](http://www.six-group.com/responsibility)

→ **(405-1)** The tables with data on the diversity of staff (Board of Directors, management and employees by gender and age category) can be found at [www.six-group.com/responsibility](http://www.six-group.com/responsibility)

**(103-1/103-2/103-3) Continued**

is responsible for investigating and processing cases, in cooperation with Human Resources or Corporate Security if necessary. If the suspicion of misconduct is confirmed, the potential measures imposed range from a verbal warning to dismissal.

**(406-1)**

In the reporting year, the whistle-blowing tool was used to report two cases regarding "grievances in connection with the employment relationship." In addition, one person reported sexual harassment by a team member. SIX conducted thorough investigations into the cases reported and took appropriate action where necessary. ■

# Action Area “Committed to the Good of Society and Protecting the Environment”

SIX has for many years been committed to improving its energy efficiency. The Swiss Finance Museum explains the complex interconnections within the financial industry to the general public. Employees of SIX also spend one day a year doing voluntary work in the area of environmental protection or social welfare.

**A**s a globally networked Swiss company with a worldwide presence, SIX believes it has a responsibility to all the communities in which it finds itself. It has for many years been committed to protecting the environment, and it is providing an innovative service to society by means of the Swiss Finance Museum.

## Sharing Financial Knowledge with Society

The first and only finance museum in Switzerland – the land of banks – is located at the head office of SIX. The museum is funded by the Collection of Historical Securities foundation. SIX established the foundation in 2001 with the aim of preserving and expanding one of the most important collections of international historical securities.

The museum makes highlights from the collection accessible to the public and explains the origins and development of the financial industry and the role of the stock exchange by means of a multimedia exhibition. In 2018 the museum mounted a special exhibition on the theme of indices, to mark the 30th anniversary of the leading Swiss index – the SMI. In all, the Swiss Finance Museum received 8,583 visitors in the reporting year, and conducted 260 guided tours, of which 53 were for schoolchildren.

## Committed to the Good of Society and Protecting the Environment

Since 2011 SIX has organized volunteer days once a year, during which its employees can spend a day helping with social and environmental projects. Between September and November 2018, over a hundred employees of SIX at four different European locations performed voluntary work: The locations in Paris, London and Luxembourg participated, as well as the main Swiss locations in Zurich and Olten. Volunteers spent a day helping at a shelter for the homeless (London) and at a clothes donation point for the needy (Luxembourg). They gave children from low-income families the opportunity to visit a leisure park (Paris). They assisted Swiss citizens from immigrant backgrounds to apply for jobs (Zurich) or lent a hand at various Swiss nature conservation areas. SIX has set itself the objective of expanding its corporate volunteering initiative to other international locations in the next few years.

## Responsible Use of Natural Resources →

Using resources efficiently and responsibly is also a major theme at SIX. For many years now, SIX has been making efforts to reduce its consumption of non-renewable resources and its carbon emissions. As a member of the Zurich Energy Model, SIX is required to

In 2018, more than 100 employees actively participated at the SIX Social Days.

→ A table containing the environmental data of SIX may be found at [www.six-group.com/responsibility](http://www.six-group.com/responsibility)

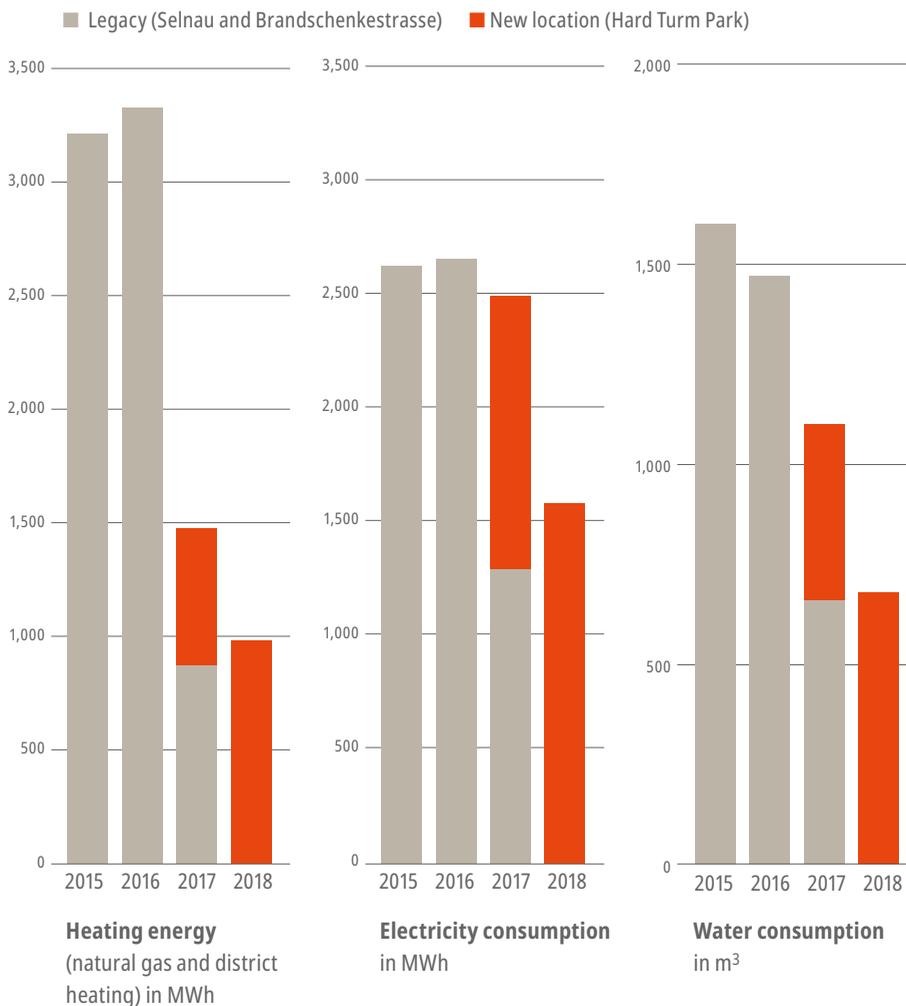
improve its energy efficiency by 2% every year. Similarly, SIX has concluded target agreements with the other cantons which play home to its locations: These require SIX to improve its energy efficiency by 1.16% annually until 2020.

**Even Better Than Expected: Net Environmental Effect of Location Consolidation in Zurich**

Since mid-2017 SIX has had only one large location in Zurich West, consisting of the (new) Hard Turm Park complex and the building in Hardturmstrasse.

SIX has closed the former locations at Zurich Selnau and Zurich Brandschenkestrasse. All employees gradually moved into the new location in Zurich West by mid-2017. 2018 was the new Hard Turm Park building’s first full year in operation. Furthermore, SIX constantly strives to make its data centers more energy-efficient. A comparison of the consumption figures for heating, power and water over the last four years shows an impressively positive net environmental effect. Actual consumption figures were significantly >

**Net Environmental Effect of Location Consolidation in Figures**



lower than the total figures for the Zurich Selnau and Zurich Brandschenkestrasse locations in previous years. Expectations based on the calculations produced by the Energy Agency of the Swiss Private Sector (EnAW) in Zurich were clearly exceeded:

The savings in electricity and water were around 50% better than expected, while the saving in energy used for heating was as much as five times better. SIX has replaced the former natural gas heating system with low-carbon district heating.

Another highlight is the sharp fall in the amount of PET waste in 2018, with a significant drop in consumption of PET cups following a successful internal campaign, and a 38% fall in the number of cups ordered from the supplier. The

campaign was successful at all the Swiss locations. In May 2019, SIX finally discontinued the use of plastic cups at its Swiss locations, replacing them with FSC-certified paper cups.

#### **Strongest Driver of Carbon Footprint of SIX: Flights**

In 2018 SIX also calculated its carbon footprint for the first time. Air travel has a particularly negative impact on the net environmental effect of SIX. Almost 60% of direct and indirect carbon emissions, amounting to 1,321 tonnes of CO<sub>2</sub> equivalent, are attributable to flights. SIX has 20 locations worldwide and has set itself the goal of achieving further international convergence in the spirit of "One Company." This goal presents a challenge from the environmental perspective. ■

**In May 2019, SIX discontinued the use of plastic cups at its Swiss locations.**

# About this Report

The Annual Report 2018, the Financial Statements 2018 (which form part of the full English version of the Annual Report 2018) and the CR Report 2018 together constitute the reporting of SIX.

## (102-54)

This report was drawn up in accordance with the GRI Standards: "Core" option. The GRI Financial Services Sector Supplement 2013 was also used for the key topic of "Forward-looking Services."

## (102-49/102-50/102-51/102-52)

The CR Report 2018 relates to the entire SIX Group Ltd, which means that the reporting boundaries correspond to those of the consolidated annual financial statements (see Financial Statements 2018 in the full English version of the Annual Report 2018, p. 105 ff). The only exception is the information on environmental data, which mainly covers only the locations in Switzerland. All information in the CR Report 2018 refers, unless otherwise stated, to the 12 months of the reporting year 2018. A CR Short Report was also published in 2017. The CR Report 2016 met the requirements of the GRI G4 Guideline: "Core" option. The key themes and boundaries have remained unchanged since 2016. In future, the CR Report will be published annually, in accordance with GRI standards.

## (102-48)

The information covered by the present report refers mainly to the continuing business operations of SIX without the cards business, which was transferred to Worldline. This relates in particular to the quantitative disclosures on direct economic value generated and distributed, and environmental data. Here, the prior-year figures for 2017 have been subsequently corrected in order to permit an objective comparison of changes

over time. The key employee data in the section entitled "Action Area: A Fair and Responsible Employer" is an exception to this rule. The figures for the reporting year cover continuing business operations; the prior-year figures (2017) could no longer be corrected subsequently, so they still include the discontinued business (excl. Aduno SA). A prior-year comparison of the key employee data is therefore of only limited relevance.

## Material Topics and Reporting Boundaries Within and Outside the Organization

(102-46/102-47)

Material Topics	Disclosure	See page	Reporting boundaries within the organization		Reporting boundaries outside the organization				
			Company as a whole	Employees	Owners	Customers	Suppliers	Society	Regulator
Contribution to the stability and attractiveness of the financial center	<b>(201-1)</b> Direct economic value generated and distributed	14/15	X	X	X	X	X	X	X
Contribution to the stability and attractiveness of the financial center	<b>(418-1)</b> Substantiated complaints regarding breaches of privacy and losses of customer data	16		X		X		X	X
Contribution to the stability of the overall economy	<b>(203-2)</b> Significant indirect economic impacts	12	X			X		X	X
Forward-looking services	<b>(FS7)</b> Products and services that were developed to provide a special social benefit	18/19	X		X	X		X	X
Compliance with laws	<b>(419-1)</b> Non-compliance with laws and regulations in the social and economic area	17	X	X				X	X
Compliance with laws	<b>(206-1)</b> Legal actions for anti-competitive behavior, antitrust and monopoly practices	17	X	X				X	X
Compliance with laws	<b>(205-3)</b> Confirmed incidents of corruption and corrective actions taken	17	X	X				X	X
Employee diversity	<b>(405-1)</b> Diversity of governance bodies and employees	22	X	X					
Ensuring personal integrity and non-discrimination of employees	<b>(406-1)</b> Incidents of discrimination and corrective actions taken	23	X	X					
Working environment that provides opportunities for all employees and empowers them to give their best	<b>(401-1)</b> New employee hires and employee turnover	22	X	X				X	X
Working environment that provides opportunities for all employees and empowers them to give their best	<b>(404-1)</b> Average hours of training per year per employee	22	X	X				X	X

# GRI Content Index

The GRI Content Index provides a clear overview of where to find information on particular CR topics. In addition to the references to the relevant places in this CR Report 2018, there are also page references to the SIX Annual Report 2018 and URL links to content that is available on the website of SIX.

**(102-55/102-56)** For the GRI Content Index Service, GRI Services reviewed that the GRI content index is clearly presented and the references for all disclosures included align with the appropriate sections in the body of the report. The service was performed on the German language version of the report. All indicators discussed are deemed to have been reported in full. In cases of partial compliance with the indicator, this is explicitly indicated (partial information).

The SIX CR Report 2018 has not been subjected to an external audit. The financial statements (as part of the English version of the Annual Report 2018) were audited by an external auditor; see the SIX Annual Report 2018, p. 124 f. and p. 137 f. The SIX Annual Report 2018 is available for download: [www.six-group.com/annual-report](http://www.six-group.com/annual-report)



## **(102-55)** General Disclosures

GRI Standard	Disclosure	Page(s) or URL(s)
GRI 101: Foundation 2016	No specific disclosures	
GRI 102: General Disclosures 2016	<b>102-1</b> Name of the organization	SIX Annual Report 2018, p. 17
GRI 102: General Disclosures 2016	<b>102-2</b> Activities, brands, products and services	<a href="http://www.six-group.com/en/home/company/overview-of-six.html">www.six-group.com/en/home/company/overview-of-six.html</a>
GRI 102: General Disclosures 2016	<b>102-3</b> Location of headquarters	SIX Annual Report 2018, p. 17
GRI 102: General Disclosures 2016	<b>102-4</b> Location of operations	SIX Annual Report 2018, p. 12 <a href="http://www.six-group.com/en/home/company/overview-of-six/locations.html">www.six-group.com/en/home/company/overview-of-six/locations.html</a>
GRI 102: General Disclosures 2016	<b>102-5</b> Ownership and legal form	SIX Annual Report 2018, p. 17 <a href="http://www.six-group.com/en/home/company/governance.html#shareholding">www.six-group.com/en/home/company/governance.html#shareholding</a>
GRI 102: General Disclosures 2016	<b>102-6</b> Markets served	<a href="http://www.six-group.com/en/home/company/overview-of-six.html">www.six-group.com/en/home/company/overview-of-six.html</a>
GRI 102: General Disclosures 2016	<b>102-7</b> Scale of the organization	SIX Annual Report 2018, p. 25
GRI 102: General Disclosures 2016	<b>102-8</b> Information on employees and other workers	SIX Corporate Responsibility Report 2018, p. 21
GRI 102: General Disclosures 2016	<b>102-9</b> Supply chain	SIX Corporate Responsibility Report 2018, pp. 15 and 16
GRI 102: General Disclosures 2016	<b>102-10</b> Significant changes to the organization and its supply chain	SIX Annual Report 2018, pp. 8, 9 and 10 SIX Corporate Responsibility Report 2018, pp. 12, 15 and 16
GRI 102: General Disclosures 2016	<b>102-11</b> Precautionary principle or approach	SIX Corporate Responsibility Report 2018, p. 3
GRI 102: General Disclosures 2016	<b>102-12</b> External initiatives	SIX Corporate Responsibility Report 2018, p. 16
GRI 102: General Disclosures 2016	<b>102-13</b> Membership of associations and interest groups	SIX Corporate Responsibility Report 2018, p. 16 <a href="http://www.six-group.com/engagement">www.six-group.com/engagement</a>
GRI 102: General Disclosures 2016	<b>102-14</b> Statement from senior decision-maker	SIX Corporate Responsibility Report 2018, p. 3
GRI 102: General Disclosures 2016	<b>102-16</b> Values, principles, standards, and norms of behavior	SIX Corporate Responsibility Report 2018, pp. 5, 8 and 17 <a href="http://www.six-group.com/en/home/company/overview-of-six.html#purpose-statement">www.six-group.com/en/home/company/overview-of-six.html#purpose-statement</a>
GRI 102: General Disclosures 2016	<b>102-18</b> Governance structure	SIX Annual Report 2018, pp. 18, 19 and 20
GRI 102: General Disclosures 2016	<b>102-40</b> List of stakeholder groups	<a href="http://www.six-group.com/engagement">www.six-group.com/engagement</a>
GRI 102: General Disclosures 2016	<b>102-41</b> Collective bargaining agreements	SIX Corporate Responsibility Report 2018, p. 21
GRI 102: General Disclosures 2016	<b>102-42</b> Identifying and selecting stakeholders	SIX Corporate Responsibility Report 2018, p. 6

**(102-55) Continued**

GRI Standard	Disclosure	Page(s) or URL(s)
GRI 102: General Disclosures 2016	<b>102-43</b> Approach to stakeholder engagement	SIX Corporate Responsibility Report 2018, pp. 6, 7 and 8
GRI 102: General Disclosures 2016	<b>102-44</b> Key topics and concerns raised	SIX Corporate Responsibility Report 2018, pp. 6, 7 and 8
GRI 102: General Disclosures 2016	<b>102-45</b> Entities included in the consolidated financial statements	SIX Annual Report 2018, pp. 131 and 132
GRI 102: General Disclosures 2016	<b>102-46</b> Defining report content and topic boundaries	SIX Corporate Responsibility Report 2018, p. 28
GRI 102: General Disclosures 2016	<b>102-47</b> List of material topics	SIX Corporate Responsibility Report 2018, p. 28
GRI 102: General Disclosures 2016	<b>102-48</b> Restatements of information	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-49</b> Changes in reporting	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-50</b> Reporting period	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-51</b> Date of most recent report	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-52</b> Reporting cycle	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-53</b> Contact point for questions regarding the report	SIX Corporate Responsibility Report 2018, p. 32
GRI 102: General Disclosures 2016	<b>102-54</b> Claims of reporting in accordance with the GRI Standards	SIX Corporate Responsibility Report 2018, p. 27
GRI 102: General Disclosures 2016	<b>102-55</b> Content Index	SIX Corporate Responsibility Report 2018, pp. 29, 30 and 31
GRI 102: General Disclosures 2016	<b>102-56</b> External assurance	SIX Corporate Responsibility Report 2018, p. 29

**Material Topics**

GRI Standard	Disclosure	Page(s) or URL(s)	Omissions
<b>Contribution to the stability and attractiveness of the financial center</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14 SIX Annual Report 2018, pp. 8, 9, 10, 13, 14 and 15	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14 SIX Annual Report 2018, pp. 8, 9, 10, 13, 14 and 15	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14 SIX Annual Report 2018, pp. 8, 9, 10, 13, 14 and 15	
GRI 201: Economic performance 2016	<b>201-1</b> Direct economic value generated and distributed	SIX Corporate Responsibility Report 2018, pp. 14 and 15	
<b>Contribution to the stability and attractiveness of the financial center</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 12, 13 and 14	
GRI 418: Customer privacy 2016	<b>418-1</b> Substantiated complaints regarding breaches of customer privacy and losses of customer data	SIX Corporate Responsibility Report 2018, p. 16	
<b>Contribution to the stability of the overall economy</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 11 and 12 SIX Annual Report 2018, p. 15	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 11 and 12 SIX Annual Report 2018, p. 15	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 11 and 12 SIX Annual Report 2018, p. 15	
GRI 203: Indirect economic impacts 2016	<b>203-2</b> Significant indirect economic impacts	SIX Corporate Responsibility Report 2018, p. 12	
<b>Forward-looking services</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 17 and 18	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 17 and 18	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 17 and 18	
GRI Financial Services Sector Supplement 2013	<b>FS7</b> Products and services that were developed to provide a special social benefit	SIX Corporate Responsibility Report 2018, pp. 18 and 19	Partial information / Not applicable: The forward-looking services are innovative services from SIX that are still in the development stage and do not contribute significantly to SIX's sales.

**(102-55) Continued**

GRI Standard	Disclosure	Page(s) or URL(s)	Omissions
<b>Compliance with laws</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 16 and 17	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 16 and 17	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 16 and 17	
GRI 419: Socioeconomic compliance 2016	<b>419-1</b> Non-compliance with laws and regulations in the social and economic area	SIX Corporate Responsibility Report 2018, p. 17	
<b>Compliance with laws</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, p. 17	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, p. 17	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, p. 17	
GRI 206: Anticompetitive behavior 2016	<b>206-1</b> Legal actions for anti-competitive behavior, antitrust and monopoly practices	SIX Corporate Responsibility Report 2018, p. 17	
<b>Compliance with laws</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, p. 17	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, p. 17	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, p. 17	
GRI 205: Anti-corruption 2016	<b>205-3</b> Confirmed incidents of corruption and corrective actions taken	SIX Corporate Responsibility Report 2018, p. 17	
<b>Employee diversity</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, p. 22	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, p. 22	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, p. 22	
GRI 405: Diversity and equal opportunity 2016	<b>405-1</b> Diversity of governance bodies and employees	<a href="http://www.six-group.com/responsibility">www.six-group.com/responsibility</a>	
<b>Ensuring personal integrity and non-discrimination of employees</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 22 and 23	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 22 and 23	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 22 and 23	
GRI 406: Non-discrimination 2016	<b>406-1</b> Incidents of discrimination and corrective actions taken	SIX Corporate Responsibility Report 2018, p. 23	
<b>Working environment that provides opportunities for all employees and empowers them to give their best</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22 <a href="http://www.six-group.com/en/home/careers/why-six.html">www.six-group.com/en/home/careers/why-six.html</a>	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22	
GRI 401: Employment 2016	<b>401-1</b> New employee hires and employee turnover	<a href="http://www.six-group.com/responsibility">www.six-group.com/responsibility</a>	
<b>Working environment that provides opportunities for all employees and empowers them to give their best</b>			
GRI 103: Management approach 2016	<b>103-1</b> Explanation of the material topic and its boundary	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22	
GRI 103: Management approach 2016	<b>103-2</b> The management approach and its components	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22 <a href="http://www.six-group.com/en/home/careers/why-six.html">www.six-group.com/en/home/careers/why-six.html</a>	
GRI 103: Management approach 2016	<b>103-3</b> Evaluation of the management approach	SIX Corporate Responsibility Report 2018, pp. 20, 21 and 22	
GRI 404: Training and education 2016	<b>404-1</b> Average hours of training per year per employee	SIX Corporate Responsibility Report 2018, p. 22 <a href="http://www.six-group.com/responsibility">www.six-group.com/responsibility</a>	

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