

SIX Swiss Exchange message no. 40/2016

Subject	SWXess Maintenance Release 6 (SMR6) - Regulations
Category	SWXess Trading Platform
Authorized by	Rolf Broekhuizen, Head Business Engineering Rebecca Stasolla, Senior Business Analyst
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Information



Content of this message:

- Publication of the updated "Participant Readiness" brochure for SMR6
 - Publication of the updated Rules and Directives and Guides for SMR6
 - Rollout for SMR6 in the Production environment planned for 17 October 2016
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In [SIX Swiss Exchange message no. 30/2016](#), SIX Swiss Exchange informed Participants of the detailed functional changes brought about by SWXess Maintenance Release 6 (SMR6).

This message informs Participants about the publication of the regulations for SMR6.

SMR6 - Participant Readiness

The "[SMR6 – Participant Readiness](#)" brochure has been updated and now also contains detailed information on the regulatory impact of SMR6. The changes since the last version of the document can be found in the document history of this brochure.

More information on the SWXess Maintenance Release 6 is available on the dedicated [SWXess Maintenance Release \(SMR\)](#) website as well as in the [Release Notes](#) on the [Member Section](#) of SIX Swiss Exchange.

Regulatory Changes

The following Rules, Directives and Guides have been updated with respect to SMR6 and are now available on the [SIX Swiss Exchange](#) website:

- **Rule Book** of SIX Swiss Exchange
- **Reporting Office Rules** for the Fulfilment of the Legal Reporting Requirements for Securities Dealers
- **Directives** of SIX Swiss Exchange
 - Directive 3: Trading
 - Directive 4: Market Control
 - Directive 5: Trading without pre-trade transparency
 - Directive 7: Fees and Costs
- **Guides**
 - Trading Guide

In addition to the SMR6 related changes to the Rules and Directives, SIX Swiss Exchange has added regulations to [Directive 4: Market Control](#) in regards to measures in emergency situations, in particular in the event of the failure of a Central Counterparty.

A detailed list of the adjustments to the Rules and Directives for SMR6 can be found in chapter 5 of the [SMR6 – Participant Readiness](#) brochure as well as under the following link on the website of SIX Swiss Exchange:

http://www.six-swiss-exchange.com/participants/regulation/revisions/rule_book_en.html

Testing and Readiness Declaration

Participants can continue to test the functional and technical changes in the Membertest environment until the productive rollout of SMR6. Please contact Member Services (member.services@six-group.com / +41 58 399 2473) if you require assistance with testing.

SIX Swiss Exchange would like to kindly remind all Participants to complete and submit the [Readiness Declaration for SMR6](#) form by **5 October 2016** to confirm their readiness for the migration to SMR6 in Production environment.

Rollout

The rollout of SMR6 in the Production environment is planned for **17 October 2016**. SIX Swiss Exchange will confirm the Production go-live of SMR6 by 10 October 2016.

Please note that SIX Swiss Exchange has set 5 December 2016 as the contingency date for the productive rollout of SMR6.

SIX Swiss Exchange is happy to be able to add value for its Participants with the implementation of SMR6 and the associated innovations and improvements.

If you have any questions, please do not hesitate to contact Member Services:

Phone: +41 58 399 2473

E-mail: member.services@six-group.com

Links to SIX Swiss Exchange:

www.six-swiss-exchange.com | [Member Section](#) | [Forms](#) | [Rules](#) | [Directives](#)