
July 11, 2013

NASDAQ OMX Stockholm fines Allenex AB

Stockholm, July 11, 2013 – The Disciplinary Committee of NASDAQ OMX Stockholm AB (“the Exchange”) has found that Allenex AB (“Allenex”) has contravened the Exchange’s Rulebook for Issuers and has therefore ordered Allenex to pay a fine corresponding to one annual fee to the Exchange.

The case concerns Allenex’s violation of item 3.4.2 in the Rulebook, which stipulates that, if a company intends to publish information that is expected to have a significant impact on the price of the company’s share, the company must inform the Exchange of this prior to publishing the information.

In February 2013, Allenex published a press release regarding an order. In the days following the press release, the price of the Allenex share rose substantially.

Although the circumstances of the case were somewhat extenuating, advance notice of the information should have been submitted to the Exchange prior to publication. Accordingly, the Disciplinary Committee orders Allenex to pay a fine equivalent to one annual fee to the Exchange.

A more detailed description of the case and the Disciplinary Committee’s decision is published on:

<http://www.nasdaqomx.com/listing/europe/surveillance/stockholm/disciplinarycommittee/decisions/>

Participating in the Committee’s decision were former Supreme Court Justice Johan Munck, Supreme Court Justice Marianne Lundius, Company Director Jack Junel, Company Director Stefan Erneholm and Lawyer Wilhelm Lüning.

About the Disciplinary Committee

The role of NASDAQ OMX Stockholm’s Disciplinary Committee is to consider suspicions regarding whether Exchange Members or listed companies have breached the rules and regulations applying on the Exchange. If NASDAQ OMX Stockholm suspects that a member or a listed company has acted in breach of NASDAQ OMX Stockholm’s rules and regulations, the matter is reported to the Disciplinary Committee. NASDAQ OMX Stockholm investigates the suspicions and pursues the matter and the Disciplinary Committee issues a ruling regarding possible sanctions. The sanctions possible for listed companies are a warning, a fine or delisting. The fines that may be imposed range from one to 15 annual fees. The sanctions possible for Exchange Members are a warning, a fine or debarment. Fines paid are not included in the Exchange’s business but are attributed to a foundation supporting research in the securities market. The Disciplinary Committee’s Chairman and Deputy Chairman must be lawyers with experience of serving as judges. At least two of the other members of the Committee must have in-depth insight into the workings of the securities market.

Members: Former Supreme Court Justice Johan Munck (Chairman), Supreme Court Justice Marianne Lundius (Deputy Chairman), Professor emerita Madeleine Leijonhufvud, Company Director Stefan Ernehholm and Company Director Anders Oscarsson. Deputies: Former Authorized Public Accountant Bo Magnusson, Lawyer Wilhelm Lüning, Company Director Jack Junel, Ragnar Boman (MBA) and Carl Johan Högbom (MBA).

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