

# FinSA Client information

Based on the legal requirements of Art. 8ff. of the Financial Services Act (FINSA), we would like to supply you with this information sheet which provides an overview of Alquant AG (hereinafter referred to as the «financial institution») and its services.

## A. Company information

### **Address**

Street: Chemin de Mongevon 25  
Zip Code/City: CH-1023 Crissier  
Phone: +41 21 513 77 24  
Email: [info@alquant.com](mailto:info@alquant.com)  
Website: [www.alquant.com](http://www.alquant.com)

The financial institution was established in 2018.

### **Supervisory authority and audit firm**

The financial institution has been licensed as an asset manager of collective investment schemes since January 10, 2022 and is therefore subject to supervision by the Swiss Financial Market Supervisory Authority (FINMA). Within the scope of this supervision, the financial institution is audited and reviewed annually by the audit firm PricewaterhouseCoopers AG (PWC), both in terms of supervisory law and code of obligations. The address of FINMA and PWC can be found below.

Eidgenössische Finanzmarktaufsicht FINMA  
Laupenstrasse 27  
3003 Bern  
Phone: +41 31 327 91 00  
Email: [info@finma.ch](mailto:info@finma.ch)  
Website: [www.finma.ch](http://www.finma.ch)

PricewaterhouseCoopers AG  
Birchstrasse 160, Postfach  
8050 Zürich  
Phone: +41 58 792 44 00,  
Email: <https://www.pwc.ch/en/about-pwc/locations/zurich.html> or [simon.bandt@ch.pwc.com](mailto:simon.bandt@ch.pwc.com)  
Website: [www.pwc.ch](http://www.pwc.ch)

### **Ombudsman**

The financial institution is affiliated with the independent ombudsman office FINOS, which is recognized by the Federal Department of Finance. Disputes concerning legal claims between the client and the financial services provider should be settled by an ombudsman's office, if possible, within the framework of a mediation procedure. The address of FINOS is stated below.

Name Ombudsman: Finanzombudsstelle Schweiz (FINOS)  
Address: Talstrasse 20 (1st floor)  
Zip code / State: CH-8001 Zürich  
Phone: +41 44 552 08 00  
E-Mail: [info@finos.ch](mailto:info@finos.ch)  
Website: [www.finos.ch](http://www.finos.ch)

## **B. Information on the offered financial services**

The financial institution provides asset management services and transaction-based investment advisory services to its clients. In the case of a transaction-based investment advisory mandate with the financial institution, a personal recommendation relating to individual financial instruments is provided to the client. The decision to buy or sell remains always ultimately with the client.

The financial institution also provides financial services in collective investment schemes. For further information on the various collective investment schemes, the general risks, specifications, and operating procedures, please refer to the relevant prospectuses and factsheets on the following website: <https://platform.alquant.com/>

The financial institution does not guarantee any yield nor performance of investment activities. The investment activity can therefore lead to an appreciation in value and to a depreciation in value.

The financial institution has the necessary licenses to perform the above services.

## **C. Client segmentation**

Financial service providers are required to classify their clients into a client segmentation according to the law and adhere to the respective code-of-conduct. The Financial Services Act provides for «retail clients», «professional clients» and «institutional clients» segments. For each client, a client classification is determined within the framework of the cooperation with the financial institution. Subject to certain conditions, the client may change the client classification by opting out.

## **D. Information on risks and costs**

### **General risks associated with financial instruments transactions**

The investment advisory and asset management services involve financial risks. The financial institution shall provide all clients with the «Risks associated with Financial Instruments Transactions» brochure prior to the execution of the contract. This brochure can also be found at [www.swissbanking.ch](http://www.swissbanking.ch).

Clients of the financial institution may contact their client advisor at any time if they have any further questions.

### **Risks associated with the offered services**

For a description of the various risks that may arise from the investment strategy for clients' assets, please refer to the relevant investment advisory or asset management agreements.

If unusual concentrations of risk within the client portfolio cannot be ruled out, the nature and extent of such concentration risks shall be disclosed to the client. Indicators of such unusual concentrations of risk are:

- a concentration of 10% or more in individual securities;
- a concentration of 20% or more in individual issuers.

Concentrations from collective investment schemes that are subject to regulatory risk diversification rules, such as UCITS funds and Swiss securities funds, are excluded.

In the case of investment advice, the financial institution shall provide its retail clients with the basic information sheet of the recommended financial instrument.

### **Information on costs**

A fee is charged for the services rendered, which is usually calculated on the assets under management and/or on a performance basis. For more detailed information, please refer to the relevant investment advisory or asset management agreements.

If it is not possible to determine the actual amount of remuneration or third-party services before the financial service is provided or the contract is concluded, the financial institution shall inform the client of the range of the respective remunerations, taking into account the different asset classes and financial instruments.

In the case of asset management and portfolio-based investment advice, if the exact amount of third-party remuneration cannot be determined in advance, the client shall be informed of the range of the expected remuneration in relation to the portfolio value and the agreed investment strategy.

**E. Information about relationships with third parties**

In connection with the financial services offered by the financial institution, economic ties may exist with third parties. The acceptance of payments from third parties as well as their treatment are regulated in detail and comprehensively in the respective investment advisory and asset management contracts.

**F. Information on the market offer considered**

The financial institution basically follows an «open universe approach» and tries to make the best possible choice for the client when selecting financial instruments. The financial institution's own collective investments can – where appropriate – be used in the portfolio management mandates or recommended as part of investment advice.

If the financial institution offers both its own and third-party financial instruments in its market offering, it shall take appropriate organisational measures, such as implementing a procedure for selecting financial instruments based on objective criteria customary in the industry. If the possibility of clients being disadvantaged cannot be excluded, the financial institution shall disclose this to its customers.