

## Customer Information about the Financial Services

### 1. Information about the asset manager

#### 1.1. Name and address

Name: Wyss & Partner Asset Management and Investment Counseling AG  
Address: Bahnhofstrasse 17  
Zip / City: 7323 Wangs, Switzerland  
Phone: +41 81 720 06 88  
Fax: +41 81 720 06 89  
E-Mail: [info@wysspartner.ch](mailto:info@wysspartner.ch)  
Internet: [www.wysspartner.ch](http://www.wysspartner.ch)

#### 1.2. Field of activity

The asset manager is domiciled in Wangs. He offers services in the field of asset management and investment advice as well as the management of collective assets.

#### 1.3. Supervisory status and competent authority as well as supervisory organization

Since 2008, the asset manager has been subject to the Swiss Financial Market Supervisory Authority (FINMA) as a manager of collective assets:

Swiss Financial Market Supervisory Authority FINMA  
Laupenstrasse 27  
3003 Bern

FINMA monitors that the asset manager complies with the highest regulatory requirements in terms of own funds, structure, organization, and training of employees.

#### 1.4. Professional secrecy

The asset manager is subject to professional secrecy in accordance with the Financial Institutions Act.

#### 1.5. Economic ties with third parties

The asset manager has no economic ties with third parties.

### 2. Dormant assets

It happens that contacts with clients are broken off and the assets subsequently become dormant. Such assets may be permanently forgotten by the clients and their heirs. The following is recommended to avoid loss of contact or dormant assets:

- **Change of address and name:** Please notify us immediately in the event of a change of residence, address, or name.
- **Special instructions:** Please inform us about longer absences and about a possible redirection of correspondence to a third address or a withholding of correspondence as well as about the availability in urgent cases during this time.



- **Granting of powers of attorney:** It may be advisable to designate a person with power of attorney whom the asset manager can approach in the event of an interruption of contact.
- **Orientation of trusted persons and testamentary disposition:** A further possibility to avoid lack of contact and communication is to inform a trusted person about the relationship with the asset manager. However, the asset manager may only provide such a trusted person with information if he or she has been authorized to do so in writing. Furthermore, the assets concerned may be mentioned, for example, in a testamentary disposition.

The asset manager will be happy to answer any questions.

### 3. Information on the financial services offered by the asset manager – Asset Management

#### 3.1. Nature, characteristics and functioning of the financial service

In asset management, the asset manager manages assets in the name of, for the account of and at the risk of the client, which the client has deposited with a custodian bank. The asset manager carries out transactions at his own free discretion and without consulting the client. In doing so, the asset manager ensures that the transaction he executes is in accordance with the client's financial circumstances and investment objectives as well as the investment strategy agreed with the client and ensures that the portfolio structuring is suitable for the client.

#### 3.2. Rights and duties

In asset management, the client has the right to manage the assets in his portfolio. In doing so, the asset manager selects the investments to be included in the portfolio with due care within the framework of the market offer considered. The asset manager shall ensure an appropriate distribution of risk to the extent permitted by the investment strategy. He regularly monitors the assets he manages and ensures that the investments are in line with the investment strategy agreed in the investment profile and are suitable for the client.

The asset manager regularly informs the client about the agreed and provided asset management.

#### 3.3. Risks

In asset management, the following risks arise in principle, which lie in the client's sphere of risk and are therefore borne by the client:

- **Risk of the selected investment strategy:** Different risks may arise from the investment strategy selected and agreed by the client (see below). The client shall bear these risks in full. A presentation of the risks and a corresponding risk explanation are provided before the investment strategy is agreed.
- **Asset preservation risk** or the risk that the financial instruments in the portfolio lose value: This risk, which can vary depending on the financial instrument, is borne in full by the client. For the risks of the individual financial instruments, please refer to the brochure "Risks in Trading with Financial Instruments" of the Swiss Bankers Association.
- **Information risk on the part of the asset manager** or the risk that the asset manager has too little information to be able to make an informed investment decision: When managing assets, the asset manager considers the client's financial circumstances and investment objectives (suitability test). If the client provides the asset manager with insufficient or inaccurate information about his financial circumstances and/or investment



objectives, there is a risk that the asset manager will not be able to make investment decisions that are suitable for the client.

- **Risk as a qualified investor in collective investment schemes:** Clients who make use of asset management services within the framework of a long-term asset management relationship are deemed to be qualified investors within the meaning of the Collective Investment Schemes Act. Qualified investors have access to forms of collective capital investments that are exclusively open to them. This status enables a broader range of financial instruments to be considered in the design of the portfolio. Collective investment schemes for qualified investors may be exempt from regulatory requirements. Such financial instruments are therefore not or only partially subject to Swiss regulations. This may give rise to risks, particularly regarding liquidity, investment strategy or transparency. Detailed information on the risk profile of a particular collective investment scheme can be found in the constituent documents of the financial instrument and, where applicable, in the investment information sheet and the prospectus.

Furthermore, risks arise during asset management which lie within the asset manager's sphere of risk and for which the asset manager is liable vis-à-vis the client. The asset manager has taken suitable measures to counter these risks, in particular by observing the principle of good faith and the principle of equal treatment when processing client orders. Furthermore, the asset manager ensures the best possible execution of client orders.

### 3.4. Market supply considered

The market offering considered in the selection of financial instruments includes own and third-party financial instruments. The following financial instruments are available to the client within the scope of asset management:

- shares which are listed on open and regulated stock exchanges/trading places;
- debt securities with at least investment grade status;
- units in collective investment schemes which are licensed for distribution in Switzerland;
- structured products issued in Switzerland;
- derivatives which serve to hedge risks;
- forward exchange transactions used to hedge currency risks;
- own products, equity and strategy funds;
- other financial instruments specifically listed in the asset management agreement.

## 4. Ombudsman's office

If a conflict arises, you can contact the ombudsman's office. The ombudsman's office attempts to reach an agreement between the parties in a neutral and independent manner. The services of the ombudsman's office are free of charge.

Details on the ombudsman's office:

Name: OFS Ombud Finance Switzerland  
Address: 16 Boulevard des Tranchées  
Zip/City: 1206 Geneva, Schweiz  
Phone: + 41 22 808 04 51  
E-Mail: [contact@ombudfinance.ch](mailto:contact@ombudfinance.ch)  
Internet: [ombudfinance.ch](http://ombudfinance.ch)

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