

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 Swiss Global Asset Management AG (hereinafter referred to as the «financial institution») and its services.

A. Company information

Address

Street:	Uranianstrasse 11
Zip Code/City:	8001 Zürich
Phone:	
Email:	info@swissglobal.com
Website:	www.swissglobal.com

The financial institution was established in 1983.

Supervisory authority and audit firm

Currently (as of: June 2022), the financial institution is supervised by the self-regulatory organization ARIF. With the new Financial Institutions Act (FinIA), all financial institutions will in future need a license from FINMA to carry out their professional activities as a portfolio manager according to FinIA Art. 17. The deadline for submitting the application is the end of 2022. The financial institution will submit the application to the competent licensing authorities for authorization as a portfolio manager in the upcoming weeks. The future authorization status can be found on the homepage.

The financial institution is audited and reviewed by the auditing company Grant Thornton AG both in terms of supervisory law and in terms of obligations. The address of the of the supervisory organization ARIF and the auditing company Grant Thornton AG can be found below.

Supervisory organization: AOOS – Schweizerische Aktiengesellschaft für Aufsicht	
Street:	Clausiusstrasse 50
Zip Code / City:	8006 Zürich
Phone:	+41 44 215 98 98
Email:	info@aos.ch
Website:	aos.ch

Audit Firm Name:	Grant Thornton AG
Address:	Claridenstrasse 35
Zip Code / City:	8027 Zürich
Phone:	+41 43 960 71 71
Email:	
Website:	www.grantthornton.ch

Ombudsman

The financial institution is affiliated with the independent ombudsman Finanzombudsstelle Schweiz (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 Finanzombudsstelle Schweiz (FINOS) is stated below.

Name Ombudsman:	Finanzombudsstelle Schweiz (FINOS)
Address:	Talstrasse 20 (1st floor)
Zip Code / City:	8001 Zürich
Phone:	+41-44 552 08 00
Email:	info@finos.ch
Website:	www.finos.ch

B. Information on the offered financial services

The financial institution provides portfolio management services to its clients.

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 this website.

The Company may also carry on the offering of financial instruments according to art. 19 para. 3 let. c FinIA

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

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 portfolio management services involve financial risks. The financial institution shall refer to the «Risks associated with Financial Instruments Transactions» brochure prior to the execution of the contract. This brochure can be found at www.swissbanking.org.

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 portfolio management agreements.

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 portfolio management agreements.

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 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 asset management mandates or recommended as part of investment advice.