

## Annex 1 General Information

First name and last name of the Customer or name of the company

hereinafter: **"Customer"**

ARTIS partner AG  
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CH-8021 Zurich 1  
info@artispartner.ch  
www.artispartner.ch  
T +41 44 797 37 37  
Commercial Register Number: CHE-255.934.924  
VAT-Number: CHE-255.934.924 MWST  
LEI-Nummer: 506700WC04538HNGOF30

We are an asset manager pursuant to Art. 17 para. 1 Swiss Financial Institutions Act and are subject to the rules of conduct of the Swiss Financial Services Act.

### 1. Supervisory Organisation

As asset managers, we are supervised by a supervisory organisation authorised under the Financial Market Supervision Act and require a licence from the Swiss Financial Market Supervisory Authority (FINMA).

Our supervisory organisation is OSFINcontrol AG:  
OSFINcontrol AG  
c/o VQF Association for the Quality Assurance of Financial Services  
General-Guisan-Strasse 6  
CH-6300 Zug  
T +41 41 767 36 00  
info@osfincontrol.ch

Our activity has been approved by:  
Swiss Financial Market Supervisory Authority (FINMA)  
Laupenstrasse 27  
CH-3003 Bern  
T +41 31 327 91 00  
info@finma.ch

## 2. Ombudsman's Office

In the event of disputes, there is the possibility of initiating a mediation procedure before the recognised ombudsman's office FINOS:

Financial Ombudsman Service Switzerland (FINOS)  
Talstrasse 20  
CH-8001 Zurich  
T +41 44 552 08 00  
info@finos.ch  
www.finos.ch

## 3. General Risks of Discretionary Asset Management and Investment Advisory Mandates and Risks Associated with Financial Instruments

The general risks associated with discretionary asset management and investment advisory mandates, as well as the specific risks related to the financial instruments used in this context, are explained in clear and comprehensible terms in the „Investor Information“ provided in Annex 4 to the Asset Management or Investment Advisory Agreement. We kindly refer you to the corresponding explanations contained therein.

The general risks of financial instruments are described in the brochure published by the Swiss Bankers Association, which is referenced below. Clients are expected to familiarize themselves with the contents of this brochure and to contact the asset manager in case of questions.



You can find the brochure „Risks Involved in Trading Financial Instruments“ at:  
[www.swissbanking.ch](http://www.swissbanking.ch) › Services › Downloads › Guidance & Recommendation ›  
„Risks Involved in Trading Financial Instruments“  
or by scanning the QR code.

### 3.1 Risks Resulting from Concentrations in Financial Instruments or Issuers

Please note that, in the context of our investment activities, it may exceptionally occur that single financial instruments have a weighting of 10% or higher, and/or that financial instruments issued by one single issuer or investments in correlated sectors, countries, or currencies have a weighting of 20% or higher in the portfolio (see the relevant explanations on concentration risks in the brochure published by the Swiss Bankers Association referenced above, which may arise from such concentrations). The weighting of the single financial instruments and currencies, as well as the respective issuers, is disclosed in the periodic custody account statements provided by the custodian bank.

## 4. Market Offering and Economic Ties Taken into Account

The market offering taken into account by us in the selection of financial instruments within the scope of asset management comprises a wide range of third-party financial instruments, in particular equities, bonds, units in collective investment schemes (funds), structured products, derivatives, etc. In individual cases, it may occur that we invest in funds managed by companies in which board members or employees of ARTIS partner hold a board or advisory position. As such personal affiliations may give rise to conflicts of interest (e.g. due to the payment of advisory fees that could result in preferential treatment of such products), we have implemented appropriate organizational measures and

contractual provisions to prevent any resulting conflicts of interest. In particular, ARTIS partner applies an investment process based on objective parameters in line with market standards when selecting financial instruments and does not accept retrocessions from these companies.

There are no economic ties to third parties in connection with the services we provide.

## 5. Privacy Policy

The information about the new data protection law can be found on our website: [www.artispartner.ch](http://www.artispartner.ch) › Private Clients › Supervision › Privacy Policy. The client has been informed by the asset manager of how customer personal data is processed and stored.

The client further acknowledges that this Annex 1 forms an integral part of the Asset Management or Investment Advisory Agreement and confirms that ARTIS partner has fulfilled its duty to inform with respect to its name, address, scope of activities, regulatory status, the competent ombudsman's office, and the other general information mentioned above.

The client is expected to consult the most up-to-date version of this General Information on the asset manager's website ([www.artispartner.ch](http://www.artispartner.ch) › Private Clients › Supervision › „General Information“) and accepts that the publication of such information on the website is deemed sufficient for notification purposes.

Place/Date

Signature Customer

First name, last name

First name, last name