

# 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: Pilatusstrasse 28  
Zip Code/City: CH-6052 Hergiswil  
Phone: +41 41 661 23 45  
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

Currently (as of November 2021), the financial institution is supervised by the self-regulatory organisation PolyReg General Self-Regulatory Organisation. With the new Financial Institutions Act (FinIA), all financial institutions will in future need a licence from FINMA to carry out their professional activities as asset managers. The deadline for submitting the application is the end of 2022. The financial institution has already submitted the application to the competent licensing authorities for authorization as an asset manager. The future authorization status can be found on the homepage.

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

PolyReg General Self-Regulatory Organisation  
Florastrasse 44  
CH-8008 Zürich  
Phone: +41 43 488 52 80  
Email: [info@polyreg.ch](mailto:info@polyreg.ch)  
Website: [www.polyreg.ch](http://www.polyreg.ch)

Audit Firm Name: bepartner ag  
Address: Kauffmannweg 14 (Postfach 2264)  
Zip Code / City: CH-6002 Luzern  
Phone: +41 41 226 31 11  
Email: [info@bepartner.ch](mailto:info@bepartner.ch)  
Website: [www.bepartner.ch](http://www.bepartner.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 customer 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 / State: CH-8001 Zürich  
Phone: +41 44 552 08 00  
E-Mail: [info@finos.ch](mailto:info@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 may also provide 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 customers into a client segmentation as legally established. The Financial Services Act provides for «retail customers», «professional customers» and «institutional customers» segments. For each customer, a customer classification is determined within the framework of the cooperation with the financial institution. Subject to certain conditions, the customer may change the customer classification by opting in or opting out.

## D. Information on risks and costs

### General risks associated with financial instruments transactions

Clients are fully informed about the risks associated with the products (in the constituent documents, the Key Investor Information Document (KIID) or in the Key Investor Information Document (PRIIP)). These are available on the following website: <https://platform.alquant.com/>

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.

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.

## 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.