

Declaration of professional client

1. Reclassification of professional customers to private customers (opting-in)

Professional clients who are not institutional clients within the meaning of Art. 4 para. 4 FIDLEG may declare that they wish to be considered private clients (opting-in). As a private client, you receive a level of protection in the following areas:

- Information obligations pursuant to Art. 8 and 9 FIDLEG: Information on the asset manager or his organization, general risk disclosure with regard to the risks associated with the financial service, the market offer taken into account as well as the disclosure of any economic ties to third parties;
- Provision of a basic information sheet when offering financial instruments in investment advice. Obligation of the financial service provider to disclose costs associated with financial instruments;
- Documentation obligation pursuant to Art. 15 FIDLEG and accountability obligation pursuant to Art. 16 FIDLEG: Documentation of orders received and executed, warnings in the event of a lack of appropriateness or suitability of a financial instrument, reasons for a recommendation in the case of investment advice, the development of the portfolio in the case of management as well as costs in the case of a personally recommended financial service. Upon request, the client shall be held accountable to this extent.

The Client declares that he/she wishes to be considered a private client.

2. Reclassification from professional clients to institutional clients (opting out)

Professional clients pursuant to Article 4 paragraph 3 letters f and g FIDLEG, i.e.

- Pension institutions and institutions that, according to their purpose, serve occupational pension plans, with professional vaulting; and
- Companies with professional safe;

Can explain that they want to be considered institutional clients.

Similarly, Swiss and foreign collective investment schemes and their management companies that do not already qualify as institutional clients under Article 4(3)(a) or (c) FIDLEG in conjunction with Article 4(4) FIDLEG, i.e.

- Financial intermediaries under the Banking Act of November 8, 1934 (BankA), the Financial Institutions Act of June 15, 2018 (FINIG) and the CISA, and
- Foreign clients who, as foreign financial intermediaries, are subject to prudential supervision

declare that they wish to be considered institutional clients.

In the case of transactions with institutional clients, the provisions of Chapter 2 of the FIDLEG (rules of conduct pursuant to Art. 7 to 19 FIDLEG) do not apply pursuant to Art. 20 para. 1 FIDLEG.

The Client declares to want to be considered as an institutional client.

3. Waiver of the application of certain rules of conduct for professional clients

Professional clients pursuant to Art. 20 para. 2 FIDLEG may expressly waive the requirement that financial service providers apply the rules of conduct pursuant to Articles 8, 9, 15 and 16 FIDLEG.

The Client declares that, as a professional client, he waives the right for the Company to apply to him the rules of conduct pursuant to Art. 8 and 9 FIDLEG (information duties) and Art. 15 and 16 FIDLEG (documentation and accountability).

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The Client confirms that it has been informed by the Company of the consequences of the reclassification as an institutional client. Furthermore, the Client acknowledges that the Company is obliged to take action itself and to adjust the Client's classification should it come to the conclusion that the Client no longer meets the above conditions.

Place/Date

Place/Date

Client signature

Client Manager signature
