



BLANKART & CIE

FinSA CLIENT INFORMATION

Based on the legal requirements of Art. 8 et seq. of the Financial Services Act (FinSA), the following provides an overview of Blankart & Cie Aktiengesellschaft (hereinafter the "Financial Institution") and its asset management services.

A. Company Information

Address

Bahnhofstrasse 106
8001 Zurich

Phone: +41 44 228 66 70

E-Mail: daniel.hug@blankart.com

Website: www.blankart.com

The Financial Institution was founded in December 2005.

Supervisory Authority and Audit Firm

Currently (as of April 2022), the Financial Institution is supervised by the self-regulatory organisation VQF Association for Quality Assurance of Financial Services for combatting money laundering and terrorist financing (VQF SRO) and by the Industry Organisation for Independent Asset Managers of the VQF for the practice of asset management (VQF BOVV). The new Financial Institutions Act (FinIA) requires all financial institutions to obtain a licence from the Swiss Financial Market Supervisory Authority FINMA to carry out their professional activities as asset managers. The deadline for submitting the application is the end of 2022. The Financial Institution is going to submit its application to the competent licensing authorities for authorisation as an asset manager prior to 31 August 2022. The future authorisation status can be found on the homepage of the Financial Institution.

From the financial year 2022 onwards, the Financial Institution will be audited and reviewed by the auditing firm TTP FINAUDIT c/o TTP Consulting Ltd., both in terms of supervisory law and Code of Obligations. The addresses of the VQF and TTP FINAUDIT can be found below:

**Financial Services Standards Association
(VQF)**
General-Guisan-Strasse 6
6300 Zug

Phone: +41 41 763 28 20
E-Mail: info@vqf.ch
Website: www.vqf.ch

TTP FINAUDIT
c/o TTP Consulting AG
Seestrasse 45
8703 Erlenbach

Phone: +41 79 851 58 10
E-Mail: info@ttpconsulting.ch
Website: www.ttpconsulting.ch

Ombudsman

The Financial Institution is affiliated with the independent ombudsman's office FINOS, which is recognised by the Federal Department of Finance. Disputes concerning legal claims between the client and the Financial Institution should be settled by an ombudsman's office, if possible, within the framework of a conciliation procedure. The address of FINOS is stated below:

Swiss Finance Ombudsman (FINOS)
Talstrasse 20
8001 Zürich

Phone: +41 44 522 08 00
E-Mail: info@finos.ch
Website: www.finos.ch

B. Information on the financial services offered

As part of its comprehensive range of services, the Financial Institution provides asset management services to its clients.

The Financial Institution does not guarantee specific returns, or make claim to a specific level of performance, for its services. The value of investments can go down as well as up.

The Financial Institution has all the necessary authorisations to perform the services described above.

C. Client segmentation

Financial service providers are required by law to classify all their clients into segments and comply with the relevant codes of conduct. The Financial Services Act (FinSA) provides for three client segments, distinguishing between «retail clients», «professional clients» and «institutional clients». A client classification is defined for each client as part of the cooperation with the Financial Institution. At the Financial Institution, all clients are generally classified in the "private clients" segment. This means that they benefit from the most comprehensive investor protection.

D. Information on Risks and Costs

General risks associated with trading in financial instruments

Trading in financial instruments involves financial risks. The Financial Institution hands out the brochure «Risks Involved in Trading Financial Instruments» prior to concluding a contract. This brochure can also 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 services offered

For a description of the various risks that may arise from the investment strategy for the client's assets, please refer to the relevant asset management agreements.

Information on Costs

A fee is charged for the services provided which is normally calculated based on assets under administration. For more detailed information, please refer to the relevant asset management contracts.

E. Information about Compensation from Third Parties

In connection with the financial services offered by the Financial Institution, economic ties with related and/or third parties may exist. The acceptance of compensation from related and/or third parties and the treatment thereof is regulated comprehensively and in great detail in the relevant asset management agreements.

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.