

# FinSA Client information for Apex Asset Management AG

Based on the legal requirements of Art. 8 ff. of the Financial Services Act, we would like to provide you with this information sheet to give you an overview of Apex Asset Management AG (hereinafter referred to as the "Financial Institution") and its services.

## A. Company information

### Address:

Poststrasse 4  
CH – 8808 Pfäffikon SZ  
Phone: +41 55 415 50 10  
Email: [Info@apexam.ch](mailto:Info@apexam.ch)  
Website: [www.apexassetmanagement.ch](http://www.apexassetmanagement.ch)

The Financial Institution was established in 2013.

### Supervisory Authority and Audit Firm

The financial institution has been licensed as a manager of collective investment schemes since 2019 and is therefore subject to prudential supervision by the Swiss Financial Market Supervisory Authority FINMA. Within the scope of this supervision, the financial institution is audited and reviewed annually by the audit firm ASMA, both in terms of supervisory law and obligations. The address of FINMA and (name of audit firm) can be found below.

Eidgenössische Finanzmarktaufsicht FINMA  
Laupenstrasse 27  
3003 Bern  
Telefon: +41 31 327 91 00  
E-Mail: [info@finma.ch](mailto:info@finma.ch)  
Website: [www.finma.ch](http://www.finma.ch)

ASMA AG  
Bändliweg 20  
CH - 8048 Zürich  
Phone: +41 44 503 53 40  
E-Mail: [info@amaudit.ch](mailto:info@amaudit.ch)  
Website: [www.amaudit.ch](http://www.amaudit.ch)

### Ombudsman

Apex Asset Management AG is affiliated with the independent ombudsman office 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 FINOS is stated below.

Ombudsman Switzerland (FINOS)

Talstrasse 20 (1. Etage)  
8001 Zurich  
Phone: +41 (0)44 552 08 00  
E-Mail: [info@finos.ch](mailto:info@finos.ch)  
Website: [www.finos.ch](http://www.finos.ch)

## B. Information on the offered financial services

The financial institution provides asset 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.

The financial institution does not guarantee any yield nor performance of asset management activities. The asset management 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.

The asset management services involve financial risks, which are explained in the brochure "Risks associated with Financial Instruments Transactions", which can be found at [www.swissbanking.org](http://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 Asset 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 Asset Management Agreements.

## **E. Information about relationships with Third Parties**

In connection with the financial services offered by the financial institution, commercial relationships with third parties may exist. The acceptance of payments from third parties and their treatment are detailed governed in the respective 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. The financial institution's own collective investments can - where appropriate - be used in the asset management mandates. In the case of the use of own collective investment schemes, the financial institution has regulated the procedure to be followed in the event of any conflicts of interest in the directive system and takes appropriate precautions to protect the interests of the clients.