

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 Emcore Asset Management AG (hereinafter referred to as the «financial institution») and its services.

A. Company information

Address

Emcore Asset Management AG
Schochenmühlestrasse 6, 6340 Baar
Telefon: +41 41 729 70 00
E-Mail: info@emcore.ch
Webseite: www.emcore.ch

The financial institution was established in 1998.

Supervisory authority and audit firm

The financial institution has been licensed as a manager of collective assets in accordance with the Swiss Financial Market Supervision Act (FinIA) since 08.02.2024 and is therefore subject to prudential supervision by the Swiss Financial Market Supervisory Authority FINMA. As part of this supervision, the financial institution is audited by the Audit Firm both in terms of regulatory law and obligations. The address of FINMA and the Audit Firm Grant Thornton AG can be found below.

FINMA:
Laupenstrasse 27, 3003 Bern

Telefon: +41 31 327 91 00
E-Mail: info@finma.ch
Webseite: www.finma.ch

Grant Thornton AG
Claridenstrasse 35, Postfach, 8002 Zürich
Telefon: +41 43 960 71 71
E-Mail: info@ch.gt.com
Webseite: www.grantthornton.ch

Ombudsman

The financial institution is affiliated with the independent ombudsman FINOS, which is recognized by the Federal Department of Finance. Disputes concerning legal claims between the client 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.

Finanzombudsstelle Schweiz (FINOS)
Talstrasse 20, 8001 Zürich
Telefon: +41 44 552 08 00
E-Mail: info@finos.ch
Webseite: www.finos.ch

B. Information on the offered financial services

The financial institution provides portfolio management services, portfolio-based and transaction-based investment advisory services.

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 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 on this website.

The financial institution does not guarantee any yield nor performance of investment activities. The investment activity can therefore lead to an appreciation or a depreciation in value.

The financial institution has all the necessary licences to perform the services described above.

C. Client segmentation

Financial service providers are required to classify their clients into a client segmentation according to the law and adhere to the respective code-of-conduct. The Financial Services Act provides for «retail clients», «professional clients» and «institutional clients» segments. For each client, a client classification is determined within the framework of the cooperation with the financial institution. Subject to certain conditions, the client may change the client classification by opting out.

D. Information on risks and costs

General risks associated with financial instruments transactions

The investment advisory and portfolio management services involve financial risks. The financial institution shall provide all clients with the «Risks associated with Financial Instruments Transactions» brochure prior to the execution of the contract. This brochure can also be found at www.swissbanking.ch.

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 portfolio 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 portfolio 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 portfolio management contracts.

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 portfolio management mandates or recommended as part of investment advice.