

Client information on the Financial Services Act (FINSA)

The new Federal Financial Services Act (FINSA) came into force in Switzerland on January 1, 2020. It contains, on the one hand, regulations on the offer of financial services and financial products and, on the other hand, protective mechanisms for investors. Even before the FINSA came into force, Aquila Ltd and its partner companies attached great importance to protecting the interests of their clients. Based on the new legislation, the existing processes were further revised and adapted to the requirements of the FINSA where necessary within the transition periods provided. Below we summarize the most important information for you.

About us

Aquila Patrimonial AG (hereinafter "the Company") is an independent asset management company domiciled in Zurich. It holds a license from the Swiss Financial Market Supervisory Authority (FINMA) as an asset manager within the meaning of Art. 17 para. 1 FINIA and is directly supervised by FINMA.

As a partner company of Aquila Ltd, the company can draw on specific expertise in the areas of legal, compliance & risk, accounting and IT (outsourcing). Aquila AG holds a banking license and is also supervised by FINMA.

Our services

We offer our clients services in the area of discretionary asset management, investment advice as well as transaction transmission (execution only). In addition, we provide other family office services on request, such as the consolidation of additional custody accounts, administrative support in cooperation with custodian banks, etc. Our license also allows us to manage occupational pension assets and fund assets up to CHF 100 million. In addition, we have the possibility to structure products and to act as asset manager for certain certificates (derivatives).

All services we offer as well as the corresponding costs are described in detail in the mandate agreement

Conflicts of interests

As part of our service, we take into account a comprehensive range of products and services, which is narrowed down by proven selection processes geared to your needs. For this purpose, we can also draw on research material from third parties (e.g. custodian banks). We strive to exclude conflicts of interest wherever possible and otherwise disclose them transparently. If research material from third parties is used and taken into account in the implementation of the investment strategy, this is done exclusively after careful examination and selection from the entire market offering considered in your best interest.

All our employees are bound by our internal code of conduct, which ensures that the needs of our clients are paramount. For further information please do not hesitate to contact us at.

Client segmentation

An important element of client protection under the FIDLEG is the division of clients into investor protection classes. We divide them into the three intended segments of "private clients," "professional clients," and "institutional clients. Private customers enjoy the highest level of investor protection.

Unless you receive information to the contrary, you are classified as a private customer. Of course, you can request that your classification under FIDLEG be changed at any time. We will then discuss with you the possible alternatives and the associated requirements.

Ombudsman

If, following a written complaint from you to the Company, a conflict arises that cannot be settled bilaterally, you can turn to the ombudsman's office. The aim of the ombudsman's office is to reach an agreement between the parties in a neutral and independent manner. The services of the ombudsman's office are generally inexpensive or even free of charge and are offered in German, French, Italian and English. We are affiliated with the following ombudsman office:

Financial Services Ombudsman (FINSOM)

Avenue de la gare 45
1920 Martigny

<https://finsom.ch>

Contact

Do you have any further questions? We are at your disposal under the following contact details:

Aquila Patrimonial AG
Bahnhofstrasse 43
8001 Zürich