

## FinSA client information

Based on the legal requirement 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 Tramondo Investment Partners AG (hereinafter Tramondo) and their services. We ask you to take note of this information.

### Company Information

Tramondo Investment Partners AG  
Unter Altstadt 10, 6302 Zug  
Phone: +41 41 710 76 76  
Website: <https://tramondo.ch/>

Tramondo is an investment boutique based in the old town of Zug and part of a multi-family office group that has existed for over 40 years. Our investment philosophy is based on independent investment decisions, transparent and liquid strategies with an attractive risk-return profile and a highly disciplined approach to risk. We stand for individual and efficient solutions for demanding customers, for discipline in the investment process, transparent and fair fees and for long-term partnerships with alignment of interests.

### Supervisory status

For our activities as managers of collective investment schemes in accordance with the Swiss Federal Law on Financial Institutions, we are licensed by the Swiss Financial Market Supervisory Authority FINMA and are subject to its supervision.

Swiss Financial Market Supervisory Authority FINMA  
Laupenstrasse 27, 3003 Bern  
Phone: +41 31 327 91 00  
E-mail: [info@finma.ch](mailto:info@finma.ch)  
Website: [www.finma.ch](http://www.finma.ch)

Audit firm: PricewaterhouseCoopers AG

As a Swiss financial services provider, Tramondo is subject to the code of conduct of the FinSA, which came into force on 1 January 2020 and must be fully complied with at the latest after the end of the transitional periods on 1 January 2022. Until then, Tramondo will in connection with its asset management business continue to adhere to the code of conduct rules of the VQF industry organization for asset management recognized by FINMA and provides its clients their services in constant compliance with the FINMA approved code of conduct of the Swiss Funds & Asset Management Association. The current SFAMA code of conduct is available on the homepage of the SFAMA ([https://www.sfama.ch/en/self-regulation-model-documents/verhaltensregeln?set\\_language=en](https://www.sfama.ch/en/self-regulation-model-documents/verhaltensregeln?set_language=en)) and the current Swiss code of conduct of the industry organization is available on its homepage (<https://www.vqf.ch/en/>).

### Ombudsman

Tramondo is affiliated to the independent ombudsman service FINOS, **which is** recognized by the Federal Department of Finance. In the event of any disputes about legal claims between our clients and Tramondo, our clients can always contact this ombudsman. Information about possible administrative costs in connection with mediation procedures can be found on the website of the ombudsman.

Finanzombudsstelle Schweiz (FINOS)  
Talstrasse 20, 8001 Zurich  
Phone: +41 44 552 08 00  
E-mail: [info@finos.ch](mailto:info@finos.ch)  
Website: [www.finos.ch](http://www.finos.ch)

## Information on the financial service offered

Tramondo provides its clients upon request with transaction-related investment advisory services or portfolio-related asset management services or prepares a consolidated asset overview.

In a transaction-based investment advisory mandate with Tramondo, clients receive a personal recommendation relating to individual financial instruments. However, the decision to buy or sell ultimately remains with the client.

A portfolio-related asset management contract is understood to be the management of a total of the client's assets. The client delegates the decision on the investments to Tramondo (based on a limited power of attorney), whereby the decision is made in accordance with the agreed investment strategy.

For detailed information on the essential rights and obligations arising from an investment advisory or asset management contract, we refer to the relevant contracts between Tramondo and its clients.

The investment funds Tramondo Dynamic Equity Opportunities Fund, Tramondo GreyJung Global Opportunities Fund, Tramondo Defensive Income Fund, Tramondo Generation Fund and Tramondo Credit Opportunities Fund are also available to complement other mandates. For information on the general risks, characteristics and functioning of the investment funds, we provide you with the corresponding prospectuses.

## Client segmentation

Financial service providers allocate their customers to a legally prescribed segment. According to art. 4 of the Financial Services Act, a client can be classified as a private client, professional client or institutional client. For each client, a client segmentation is determined within the framework of the cooperation with Tramondo, whereby Tramondo by default will classify its clients uniformly as «retail clients». Subject to certain conditions, the client may change the client segmentation by opting out.

## Information on risks and costs

### General risks in trading with financial instruments

The investment advisory and asset management services entail financial risks. Tramondo provides all clients with a brochure entitled "Risks in Trading with Financial Instruments" before conclusion of the contract.

### Risks in connection with the service offered

For a presentation of the risks that may result from the investment strategy for client assets, we refer to the corresponding appendices to the asset management agreement.

For investment advice, Tramondo provides its private clients with the basic information sheet of the financial instrument in question.

### Information on costs

A fee is charged for the services rendered, which is calculated on the assets under management or on a performance basis. For more detailed information, please read our Investment Advisory or Asset Management Agreement.

## Information about conflicts of interest

In connection with the financial services offered by Tramondo there are no economic ties to third parties. Tramondo does not accept any retrocession payments and maintains its independence in this context.

## Information on the market offer and selection of financial instruments

Tramondo follows an "open universe approach" and tries to make the best possible choice for the client when selecting financial instruments. Where appropriate, Tramondo funds are used in the asset management mandates.