

## INFORMATION NOTICE

Dear Customer,

Addvision Wealth Management SA (**AWM**) is an institution providing financial services within the meaning of the Swiss Federal Law on Financial Institutions (**FinIA**) and the Swiss Federal Law on Financial Services (**FinSA**).

AWM's activities include **portfolio management** as defined at Art. 17 para. 1 FinIA, as well as **investment advice, portfolio analysis** and the **offering of financial instruments** as defined at Art. 19 para. 3 FinIA.

We do not engage in the management of collective assets (management of collective investment schemes) within the meaning of Art. 24 FinIA, nor in the representation of foreign collective investment schemes.

As a portfolio manager, AWM is subject to the supervision of the **Swiss Financial Market Supervisory Authority (FINMA)** and of **OSIF**, a supervisory organization approved by FINMA.

### Swiss Financial Market Supervisory Authority FINMA

Laupenstrasse 27  
3003 Berne

Tel. : +41 31 327 98 88

<https://www.finma.ch/fr/contact/>

### Supervisory Body of Financial Institutes OSIF

Rue de Rive 8

Case postale 3178

1211 Genève 3

Tel. : +41 22 580 39 39

<https://osif.ch>

AWM, like any financial institution in Switzerland, abides by specific **anti-money laundering obligations** under the Federal Act on Combating Money Laundering and the Financing of Terrorism (**AMLA**). In this context, our company is supervised by the "Organisme de Surveillance des Instituts Financiers" (**OSIF**).

### Contractual documentation

AWM's main contractual documentation consists of a **client profile form**, a **client risk profile form**, and an **agreement** which encompasses our main services, namely :

- the asset management agreement
- the investment advisory agreement
- the consolidation and supervision agreement (portfolio analysis)

Depending on the type of agreement, we may offer you financial instruments such as structured products or certificates actively managed (AMC) by AWM. We also provide ancillary services such as family office. In these cases, you may be required to sign additional documents.

- If you already are an AWM client, you have completed and signed this documentation. However, to keep our contractual documentation up to date with the evolution of Swiss law and good practices, we have updated our agreements. Therefore, **please re-sign the enclosed contract which applies to the services provided to you by our company**.
- If you are a new client, it is necessary to sign the contractual documentation to ensure that AWM can start providing the agreed services.

### Remuneration of AWM

Our company has agreed with you on the payment of a **fee** for the remuneration of our services, which is set out in Annex II of your agreement.

In some cases, notably when we offer you financial instruments such as structured products or managed certificates (AMC), AWM receives a **compensation from third parties**. The details of this remuneration are also set out in your contract in Annex III and must be approved by you as to the principle and range of the compensation before AWM starts providing services to you.

### Client classification

The FinSA provides that asset managers shall classify their clients into one of the following **categories**: private clients, professional clients, and institutional clients.

**Private clients** are those to whom the asset manager is obliged to provide the most detailed information and documentation on its services and the financial instruments offered. Therefore, this clients' category benefits from the **maximum protection**.

Art. 4 para. 7 of the FinSA allows asset managers to refrain from client classification **if they treat all their clients as private clients**.

**AWM has made this choice** because our clientele consists almost exclusively of private clients, in line with our mission. As a result, you also receive the best possible advice as to the financial services we provide.

The FinSA allows high-net-worth private clients to declare that they wish to be treated as professional clients (opting out). However, this option does not apply to AWM, as we treat all our clients as private clients.

### Ombudsman

Art. 74 of the FinSA mandates that **disputes** between an asset manager and its client should be settled by an ombudsman in a mediation proceeding if possible.

For this purpose, AWM is affiliated with the foundation **OFS Ombud Finance Switzerland**, the ombudsman of the Swiss Association of Wealth Managers (SAM) of which we are a member.

Should you have a dispute with AWM regarding the execution of our services and wish to contact a neutral body, please note the following address:

#### **OFS**

16, Boulevard des Tranchées

1206 Geneva

Tél. : +41 22 808 04 51

<https://ombudfinance.ch/accueil/>

The procedure is inexpensive and confidential. Full details are available on the SFO website.

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