

FinSA Client information

Based on the legal requirements of Art. 8 ff. of the Financial Services Act, we would like to supply you with this information sheet which provides an overview of Tom Capital AG (hereinafter referred to as the «Financial Institution») and its services.

A. Company information

Address:

Tom Capital AG
Eichelackerweg 55
8700 Küsnacht ZH
Phone: +41 44 515 62 88
Email: info@tomcapital.ch
Website: www.tomcapital.ch

The Financial Institution was established in 2011.

Supervisory Authority and Audit Firm

The financial institution has been licensed as a manager of collective investment schemes since 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 BDO AG, both in terms of supervisory law and obligations. The address of FINMA and BDO AG can be found below.

Eidgenössische Finanzmarktaufsicht FINMA
Laupenstrasse 27
3003 Bern
Phone: +41 31 327 91 00
Email: info@finma.ch
Website: www.finma.ch

BDO AG
Schiffbaustrasse 2
8031 Zürich
Phone: +41 44 444 35 55
Email: info@bdo.ch
Website: www.bdo.ch

Ombudsman

The financial institution is affiliated with the independent ombudsman OFS Ombud Finanzen Schweiz, 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 OFS Ombud Finanzen Schweiz is stated below.

OFS Ombud Finanzen Schweiz
10 rue du Conseil-Général
1205 Genf
Phone: +41 22 808 04 51
Email: contact@ombudfinance.ch
Website: www.ombudfinance.ch

B. Information on the offered financial services

The financial institution 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 the website.

The financial institution can also provide asset management and investment advisory services to its clients.

The financial institution does not guarantee any yield nor performance of investment activities. The investment 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 and investment advisory 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.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 or investment advisory 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 and investment advisory 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 and investment advisory 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 or recommended as part of investment advice.