

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

A. Company information

Address

Poststrasse 10
6300 Zug
Phone: +41765352090
Email: patrick.schuppli@neuronomics.com
michael.kometer@neuronomics.com
andreas.herth@neuronomics.com
Website: www.neuronomics.com

The company was established in 2015 and became a financial institution in 2020.

Supervisory authority and audit firm

Under the Federal Act on Financial Institutions (FinIA), all financial institutions need a license from FINMA to carry out their professional activities as a portfolio manager. The company received its license on 29 July 2022 and is supervised by the supervisory organization AOOS – Schweizerische Aktiengesellschaft für Aufsicht. The financial institution is audited by the auditing company Moore Stephens Expert (Zurich) AG both in terms of regulatory law and in terms of obligations. The address of the supervisory organization and the audit company can be found below.

AOOS – Schweizerische Aktiengesellschaft für Aufsicht
Clausiusstrasse 50
8006 Zurich
Phone: +41 44 215 98 98
Email: info@aos.ch
Website: www.aos.ch

Moore Stephens Expert (Zurich) AG
Usterstrasse 11
8001 Zurich
Phone: +41 77 443 68 66
Email: csuter@msexpertzurich.ch
Website: <http://www.msexpertzurich.ch/>

Ombudsman

The financial institution is affiliated with the independent ombudsman Verein Ombudsstelle Finanzdienstleister (OFD), 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 Verein Ombudsstelle Finanzdienstleister (OFD) is stated below.

Verein Ombudsstelle Finanzdienstleister (OFD), Roland Gassmann
Bleicherweg 10
8002 Zürich
Phone: +41 (0)44 562 05 25
E-Mail: ombudsmann@ofdl.ch
Website: www.ofdl.ch

B. Information on the offered financial services

The financial institution exclusively provides asset management services to institutional investors and only to such professional investors, that have expressly waived the obligations of the financial institution to apply the rules of conduct pursuant to Art. 8 FinSA (content and form of information), Art 9 FinSA (timing and form of information), Art. 15 FinSA (documentation) and Art. 16 FinSA (accountability). No Advisory or Execution Only services are offered. Furthermore, the financial institution acts as a distributor for certain Actively Managed Certificates, exclusively to professional and institutional investors. However, investors investing in AMC's distributed by the financial institution are not and will not become clients of the financial institution.

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 (see paragraph B. above).

C. Client segmentation

Financial service providers are required to classify their customers into a client segmentation according to the law and adhere to the respective code-of-conduct. The Financial Services Act provides for «retail customers», «professional customers» and «institutional customers» segments. The financial institution does not accept any customers that do not have a professional or institutional customer status.

D. Information on risks and costs

General risks associated with financial instruments transactions

The asset management services involve financial risks. The financial institution only accepts institutional investors and professional investors who have expressly waived the information obligation according to FinSA (see paragraph B. above). However, the brochure «Risks associated with Financial Instruments Transactions» can be found at www.swissbanking.org.

Clients of the financial institution may contact Neuronomics AG 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 term sheets.

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 term sheets.

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 term sheets.

F. Information on the market offer considered

The financial institution defines the investment universe for each strategy it manages based on strategy specific parameters and tries to make the best possible choice for the client when selecting financial instruments or Crypto tokens.