

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 Optimus Family and Wealth Management AG (hereinafter referred to as the «financial institution») and its services.

A. Company information

Address

Kantonsstrasse 35
8807 Freienbach
Phone: +41 44 228 66 71
Email: diego.piccoli@optimusfamily.com
Website: www.optimusfamily.com

The financial institution was established in December 2013.

Supervisory authority and audit firm

Under the new Federal Act on Financial Institutions (FinIA), all financial institutions will in future need a license from FINMA to carry out their professional activities as asset managers. The deadline for submitting the application is the end of 2022. The financial institution received its license on 24.11.2022 and is supervised by the supervisory organization AOOS. The financial institution is audited by the auditing company TTP FINAUDIT both in terms of regulatory law and obligations. The address of the supervisory organization AOOS and the auditing company TTP FINAUDIT 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

TTP FINAUDIT c/o TTP Consulting AG
Seestrasse 45
8703 Erlenbach
Phone: +41 79 851 58 10
Email: info@ttpconsulting.ch
Website: www.ttpconsulting.ch

Ombudsman

The financial institution is affiliated with the independent ombudsman FINOS, 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 FINOS is stated below.

Finanzombudsstelle Schweiz (FINOS)
Talstrasse 20
8001 Zurich
Phone: +41 44 522 08 00
E-Mail: info@finos.ch
Website: www.finos.ch

B. Information on the offered financial services

The financial institution provides asset management services.

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.

The financial institution has all the necessary authorizations to perform the services listed 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. For each customer, a customer classification is determined within the framework of the cooperation with the financial institution, whereby Optimus Family and Wealth Management AG by default will classify their customers uniformly as «retail customers».

D. Information on risks and costs

General risks associated with financial instruments transactions

The asset management 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 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 agreements.

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 asset management contracts.

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.