Regulatory Disclaimer

Schlossberg Institutional Management AG
Gotthardstrasse 26
6300 Zug
Switzerland
E-mail: info@schlossbergim.com
Website: www.schlossbergim.com

Commercial register company number: CHE-352.554.394 VAT. We are an asset manager according to Art. 17 para. 1 Swiss Financial Institutions Act. This as well as the rules of conduct of the Swiss Financial Services Act are applicable to us. We would like to inform you that in case of short to medium term absence of the only Qualified Managing Director David Bühlmann, the Portfolio Management Team will be happy to act as your contact person. In case of his incapacity to act or death, the Board of Directors Andy Heilmann is responsible for informing the clients and taking the necessary measures for the protection of the clients and in last instance for the liquidation of the company.

1. Supervisory Body
Schlossberg Institutional Management AG is a financial institution affiliated with OSFINcontrol AG within the meaning of the Financial Institutions Act FINIG and is therefore subject to the ongoing supervision of OSFINcontrol AG. OSFINcontrol AG is a supervisory organization within the meaning of the Financial Market Supervision Act:

OSFINcontrol AG
General-Guisan-Strasse 6
6300 Zug
info@osfincontrol.ch
+41 41 767 36 00

The competent authority for the approval of our activities is:

Swiss Financial Market Supervisory Authority (FINMA)
Laupenstrasse 27
CH-3003 Berne
Telephone: +41 31 327 91 00
E-mail: info@finma.ch

2. Ombudsman’s Office
In the event of disputes, it is possible to initiate mediation proceedings before the recognized ombudsman’s office OFD:

Financial Services Ombudsman Association (OFD)
Bleicherweg 10
CH-8002 Zurich
Telephone: +41 44 562 05 25
E-mail: ombudsmann@ofdl.ch
Website: www.ofdl.ch

3. General Risks of Asset Management Mandates
In the case of an asset management mandate, the client instructs the asset manager (asset management contract) to manage his assets or parts thereof in his name and for his account. The asset manager then invests the client’s assets in the client’s best interest and in accordance with the investment strategy agreed with the client and the investment instructions given by the client, taking into account the client’s personal situation as far as it is known to the asset manager. By signing the asset management agreement, the client confirms that he authorizes the asset manager to make investment decisions at his own discretion. Consequently, he authorizes the asset manager to carry out an unlimited number of transactions (in particular purchases and sales of financial instruments), which he deems appropriate. In doing so, the asset manager is not obliged to obtain individual instructions from the client, but chooses the financial instruments, the investment time and the type of transactions independently. The financial markets are volatile. Therefore, it is difficult to predict their development. Making active investment decisions means

positioning oneself and forecasting the development of the financial markets and instruments. These investment decisions by the asset manager are based on a structured investment process that aims to generate investment gains for the client. They are deemed “right” at the time they are made, but may prove “wrong” or inconclusive over time. Accordingly, the asset manager cannot guarantee that the investment decisions he or she makes will result in a profit for the client. Consequently, the asset manager can neither guarantee the investment success nor the avoidance of losses.

4. General Risks Associated With Financial Instruments

The risks of the financial instruments used within the scope of our services are explained in a simple and comprehensible manner in the brochure of the Swiss Bankers Association “Risks in Trading with Financial Instruments”, as are the risks of cryptocurrencies, which are the underlying assets of the exchange-traded derivatives and exchange-traded funds we use in some cases. The client confirms to have received this brochure from the asset manager or to have been advised that it is available on the website of the Swiss Bankers Association at any time as follows (https://www.swissbanking.ch/_Resources/Persistent/3/3/f/4/33f4fdc0e80f57e2860a5e984929759a537 adea4/SBVg_Risiken_im_Handel_mit_Finanzinstrumenten_2019_EN.pdf) and that the client is required to take note of it and to contact the asset manager if he has any questions.

5. Market Offer and Economic Ties Taken Into Account

Within the scope of our asset management, we exclusively use Actively Managed Certificates (see enclosed “Risk Disclosure AMC”), which are also managed by us, as this enables us to ensure an efficient and cost-optimized management of our client’s assets. The client acknowledges and expressly accepts that, in addition to the compensation agreed in the asset management contract, the asset manager receives a compensation (management fee) for the management of the respective AMC, which amounts to between 0.5% and 2%.

6. Client Segmentation

An important element of client protection under the FINSA is the division of clients into investor protection classes. We divide them into the three segments of “private clients,” “professional clients,” and “institutional clients as defined by FINSA. Private clients enjoy the highest level of investor protection. Unless you receive information to the contrary, you are classified as a private customer. Of course, you can request that your classification under FINSA be changed at any time. We will then discuss with you the possible alternatives and the associated requirements.