FinSA client information

Based on the legal requirement of art. 8 ff. of the Financial Services Act, we would like to provide you with this information sheet to give you an overview of Tramondo Investment Partners AG (hereinafter Tramondo) and their services. We ask you to take note of this information.

Company Information

Tramondo Investment Partners AG
Unter Altstadt 10, 6302 Zug
Phone: +41 41 710 76 76
Website: https://tramondo.ch/

Tramondo is an investment boutique based in the old town of Zug and part of a multi-family office group that has existed for over 40 years. Our investment philosophy is based on independent investment decisions, transparent and liquid strategies with an attractive risk-return profile and a highly disciplined approach to risk. We stand for individual and efficient solutions for demanding customers, for discipline in the investment process, transparent and fair fees and for long-term partnerships with alignment of interests.

Supervisory status

Tramondo has been licensed as a manager of collective assets in accordance with the Swiss Financial Market Supervision Act (FinIA) since November 2016 and is therefore subject to prudential supervision by the Swiss Financial Market Supervisory Authority FINMA. As part of this supervision, Tramondo is audited by the Audit Firm PricewaterhouseCoopers AG both in terms of regulatory law and obligations. The address of FINMA and the Audit Firm PricewaterhouseCoopers AG can be found below.

Swiss Financial Market Supervisory Authority FINMA
Laupenstrasse 27, 3003 Bern
Phone: +41 31 327 91 00
E-mail: info@finma.ch
Website: www.finma.ch

PricewaterhouseCoopers AG
Robert-Zünd-Strasse 2, 6002 Luzern
Phone:+41 58 792 44 00
Webseite: www.pwc.ch

Ombudsman

Tramondo is affiliated to the independent ombudsman service FINOS, which is recognized by the Federal Department of Finance. In the event of any disputes about legal claims between our clients and Tramondo, our clients can always contact this ombudsman. Information about possible administrative costs in connection with mediation procedures can be found on the website of the ombudsman.

Finanzombudsstelle Schweiz (FINOS)
Talstrasse 20, 8001 Zurich
Phone: +41 44 552 08 00
E-mail: info@finos.ch
Website: www.finos.ch

Information on the financial service offered

Tramondo provides its clients upon request with transaction-related investment advisory services or portfolio-related asset management services as well as execution-only services or prepares a consolidated asset overview.

In a transaction-based investment advisory mandate with Tramondo, clients receive a personal recommendation relating to individual financial instruments. However, the decision to buy or sell ultimately remains with the client.

A portfolio-related asset management contract is understood to be the management of a total of the client's assets. The client delegates the decision on the investments to Tramondo (based on a limited power of attorney), whereby the decision is made in accordance with the agreed investment strategy.

For detailed information on the essential rights and obligations arising from an investment advisory or asset management contract, we refer to the relevant contracts between Tramondo and its clients.

The investment funds Tramondo Dynamic Equity Opportunities Fund, Tramondo GreyJung Global Opportunities Fund, Tramondo Defensive Income Fund, Tramondo Generation Fund and Tramondo Credit Opportunities Fund are also available to complement other mandates. For information on the general risks, characteristics and functioning of the investment funds, we provide you with the corresponding prospectuses.

Client segmentation

Financial service providers are required to classify their clients into a client segmentation according to the law.According to art. 4 of the Financial Services Act, a client can be classified as a private client, professional client or institutional client. For each client, a client segmentation is determined within the framework of the cooperation with Tramondo, whereby Tramondo by default will classify its clients uniformly as «retail clients». Subject to certain conditions, the client may change the client segmentation by opting out.

Information on risks and costs

General risks in trading with financial instruments

The investment advisory and asset management services entail financial risks. Tramondo provides all clients with a brochure entitled "Risks in Trading with Financial Instruments" before conclusion of the contract. This brochure can also be found at www.swissbanking.ch.

Clients of Tramondo may contact their client advisor at any time if they have any further questions.

Risks in connection with the service offered

For a presentation of the risks that may result form the investment strategy for client assets, we refer to the corresponding appendices to the asset management agreement.

If unusual concentrations of risk within the client portfolio cannot be ruled out, the nature and extent of such concentration risks shall be disclosed to the client. Indicators of such unusual concentrations of risk are:

- a concentration of 10% or more in individual securities;
- a concentration of 20% or more in individual issuers.

Concentrations from collective investment schemes that are subject to regulatory risk diversification rules, such as UCITS funds and Swiss securities funds, are excluded.

For investment advice, Tramondo provides its private clients with the basic information sheet of the financial instrument in question.

Information on costs

A fee is charged for the services rendered, which is calculated on the assets under management or on a performance basis. For more detailed information, please read our Investment Advisory or Asset Management Agreement.

If it is not possible to determine the actual amount of remuneration or third-party services before the financial service is provided or the contract is concluded, Tramondo shall inform the client of the range of the respective remunerations, taking into account the different asset classes and financial instruments.

In the case of asset management, if the exact amount of third-party remuneration cannot be determined in advance, the client shall be informed of the range of the expected remuneration in relation to the portfolio value and the agreed investment strategy.

Information about conflicts of interest

In connection with the financial services offered by Tramondo there are no economic ties to third parties. Tramondo does not accept any retrocession payments and maintains its independence in this context.

Information on the market offer considered

Tramondo follows an "open universe approach" and tries to make the best possible choice for the client when selecting financial instruments. Where appropriate, Tramondo funds are used in the asset management mandates.

As Tramondo offers both its own and third-party financial instruments in its market offering, it shall take appropriate organisational measures, such as implementing a procedure for selecting financial instruments based on objective criteria customary in the industry. If the possibility of clients being disadvantaged cannot be excluded, Tramondo shall disclose this to its clients.

Appropriateness and suitability

Appropriateness test for transaction-based investment advice

In the case of transaction-based investment advice, Tramondo provides investment advice for individual transactions without taking into account the entire client portfolio.

In this case, Tramondo must ascertain the client's knowledge and experience before recommending financial instruments. In addition, before recommending financial instruments, it must be determined whether they are appropriate for the client.

In particular, Tramondo ensures that it is aware of the client's knowledge and experience in relation to each relevant investment category used in the financial service.

Suitability test for asset management

When providing asset management services, Tramondo must take into account the entirety of the client portfolio it manages. In contrast to investment advice, it also makes the investment decision itself.

Tramondo must determine the financial circumstances and investment objectives as well as the knowledge and experience of the clients. In this context, the knowledge and experience relates to the financial service and not to the individual transactions.

The information gathered by Tramondo about the knowledge and experience of the clients must take account of the investment strategy, and the granularity of the survey must be adapted to the complexity and risk profile of the investment and the investment strategy. In particular, Tramondo must be certain about the knowledge and experience of the clients in relation to each relevant investment category used in the financial service.