

## 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 Deep Field Capital AG (hereinafter referred to as the «financial institution») and its services.

### A. Company information

#### Address

Dammstrasse 19  
6300 Zug  
+41 41 511 55 88  
info@deepfieldcapital.com

The financial institution was established in 2014.

#### Supervisory authority and audit firm in Switzerland

As of August 2022, the financial institution is supervised by the self-regulatory organization "Verein zur Qualitätssicherung von Finanzdienstleistungen (VQF)" in Switzerland.

With the implementation of the new Financial Institutions Act (FinIA) in Switzerland, all financial institutions in Switzerland are required to be licensed by the Swiss Financial Market Supervisory Authority (FINMA) to carry out their professional activities as asset managers according to FinIA Art. 17. The deadline for submitting the application to FINMA is end of 2022. The financial institution is currently in the application process and any updates to its regulatory authorization status can be found on its website.

The financial institution is audited and reviewed by the auditing company "CAPREV Wirtschaftsprüfung und -beratung AG" both in terms of supervisory law and in terms of obligations. The address and contact details of the future supervisory organization OSFIN and CAPREV Wirtschaftsprüfung und -beratung AG are as follows:

OSFIN  
Florastrasse 44  
8008 Zürich  
+ 41 43 488 52 41  
info@osfin.ch  
www.osfin.ch

CAPREV Wirtschaftsprüfung und -beratung AG  
Industriestrasse 47  
6300 Zug  
+41 41 761 92 45  
info@caprev.ch  
www.caprev.ch

### **Ombudsman**

The financial institution is affiliated with the independent ombudsman office “Finanzombudsstelle Schweiz (FINOS)”, which is recognized by the Federal Department of Finance. Disputes concerning legal claims between financial services providers and their clients should be settled by an ombudsman's office, if possible, within the framework of a mediation procedure. Address and contact details of FINOS are as follows:

Finanzombudsstelle Schweiz (FINOS)  
Talstrasse 20  
8001 Zürich  
info@finos.ch  
www.finos.ch

## **B. Information on the offered financial services**

The financial institution provides portfolio management services to its clients. The financial institution also 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 this website.

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.

## **C. Client segmentation**

Financial service providers are required to classify their clients into a client segmentation according to the law and adhere to the respective code-of-conduct. The Financial Services Act provides for «retail clients», «professional clients» and «institutional clients» segments. For each client, a client classification is determined within the framework of the cooperation with the financial institution. Subject to certain conditions, the client may change the client classification by opting out.

## **D. Information on risks and costs**

### **General risks associated with financial instruments transactions**

The portfolio 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](http://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 portfolio 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 investment portfolio 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 develops systematic, quantitative trading systems which generate buy and sell signals on the basis of historical market data. Clients may participate in the trading programs by granting the financial institution a limited power of attorney to implement one or more clearly defined trading programs in an account in the name of the Client with the Client's custodian bank. The financial institution provides programs that trade futures and equities.