

## *Client information on the Financial Services Act FINSA*

The new Federal Financial Services Act (hereinafter FINSA) came into force in Switzerland on January 1, 2020. On the one hand, it contains regulatory provisions on the offering of financial services and financial products and, on the other, protective mechanisms for investors. Even before the FINSA came into force EVT Financial Advisors AG attached great importance to protecting the interests of their clients. Based on the new legislation, the existing processes were further revised and adapted to the requirements of the FINSA where necessary within the transition periods provided. Below, we summarize the most important information for you.

### *About us*

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We aim to be a leading provider of independent wealth management services and investment consulting tailored to the stringent demands of our clientele.

In our daily relations with our clients, as well as within the company itself, we abide by our company philosophy of “high Ethical standards, true Values and Trust”, which is also reflected in our name.

The company can outsource task and services in the areas of legal, compliance & risk, accounting and IT and/or draw on specific expertise from external partners.

### *Our services*

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We take time to listen to our client’s needs and objectives and are able to offer tailor-made solutions. EVT Financial Advisors AG discretionary management services are provided through proprietary investment strategies. Each client must select one of EVT’s proprietary strategies for his or her account.

All the services we offer and the corresponding costs are described in detail in the mandate agreement.

### *Conflicts of interest*

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As part of our service, we consider a comprehensive range of products and services, which is limited by selection processes that are tried and tested and suited to your needs. For this purpose, we can also draw on research material from third parties (e.g. custodian banks). We strive to exclude conflicts of interest wherever possible and otherwise disclose them transparently. If research material from third parties is used and taken into account in the implementation of the investment strategy, this is done exclusively after careful examination and selection from the entire market offering considered in your best interest.

Our employees are bound by our internal code of conduct, which ensures that the needs of our clients are paramount. For further information we are of course at your disposal.

## ***Client segmentation***

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An important element of client protection in the FINSA is the segmentation of clients into investor protection classes. We divide them into three segments “private clients”, “professional clients” and “institutional clients”. Private clients enjoy the highest level of investor protection.

Unless you are informed otherwise, you are classified as a private client. 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.

## ***Ombudsman***

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If, following a written complaint from you to the company, a conflict arises that cannot be settled bilaterally, you can turn to the ombudsman’s office. The aim of the ombudsman’s office is to reach an agreement between the parties in a neutral and independent manner. The service of the ombudsman’s office is generally free of charge and offered in German, French, Italian and English. We are affiliated with the following ombudsman’s office: Ombud Finance Switzerland (OFS), 16 Boulevard des Tranchées, 1206 Geneva – Switzerland. Questions can also be answered by phone under the number +41 22 808 04 51 or by e-mail under [contact@ombudfinance.ch](mailto:contact@ombudfinance.ch).

## ***Contact***

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Do you have any further questions? We are at your disposal under the following contact details: EVT Financial Advisors AG, Stockerstrasse 43, 8002 Zürich – Switzerland, by phone under the number +41 44 204 20 50 or by e-mail under [info@evtfa.com](mailto:info@evtfa.com).