

GB-A Data collection 2026

Guidance notes

General notes on completing the GB-A data collection form		
All amounts are to be stated in CHF.		
All amounts from the income statement are to be stated for a period of 12 months as per the balance sheet date of 31 December 2025. All other amounts are to be stated as per the balance sheet date of 31 December 2025.		
The fund assets are to be stated as net fund assets.		
Please list only activities that were actually carried out in the year 2025 in the data collection form. Activities that could potentially be carried out are not to be listed.		
Due to the submission deadline of 31 May, the data collected may also be unaudited data. We only need to be notified of any adjustments if it is a material adjustment. "Material" means that the overall picture or the business activities change significantly.		
The editing instructions can also be found within the form by clicking on the applicable information icons.		
You will also find technical messages in red and orange within the form. Red messages are validation errors where a mandatory field has not been entered or an incorrect value has been entered that needs to be corrected. Please check these messages. The form cannot be finalised beforehand. Orange messages refer to possible errors. Please check your entries. If you are satisfied that your entry is correct, the form can nonetheless be completed.		
	Data collection question	Instructions for completion
A. Financial data		
1	Gross income	<i>Gross income comprises income from fees and commission without deduction of commission expenses and revenue reductions (retrocessions, performance fees, third-party service expenditure, administration and corporate action fees, del credere losses, formation of provisions etc.). It does not include financial income (interest income, securities income, foreign exchange income etc.), extraordinary and other income or income from participations.</i>
2	Total of fixed costs (pursuant to Art. 44 para. 1 FinIO in conjunction with paras. 4 and 5 FinIO)	<i>The fixed costs pursuant to Article 44 paras. 4 and 5 FinIO include the share of staff costs that are not dependent on the operating result, operating business expenses (material expenses), depreciation of fixed assets, and expenses for value adjustments, provisions and losses. The share of staff costs which is solely dependent on the operating result or to which there is no legal entitlement is collected under point 3 (variable salary components).</i>
3	Total of variable salary components	<i>Variable salary components, i.e. those dependent on the course of business and operating profit (bonuses, voluntary gratuities etc.)</i>
4	Annual profit / loss (before non-operating / extraordinary results and taxes)	
5	Annual profit / loss	<i>Result of the accounting period according to the annual financial statements pursuant to commercial law</i>
6	Dividends paid	<i>Are dividends being paid for the year 2025?</i>
7	Total amount of dividends paid	<i>The total amount of dividends paid for the year 2025 (payment in 2026).</i>
8	Shareholders' equity	<i>Please enter the amount of equity according to the annual financial statements pursuant to commercial law.</i>
9	Is there a capital loss or overindebtedness according to Article 725 CO during the financial year (regardless of loss or profit)? Has the company experienced a capital loss or has the firm been overindebted according to Article 725 CO during the financial year (regardless of profit or loss)?	
10	Provisions	<i>Recognised provisions according to the annual financial statements pursuant to commercial law</i>
11	Contingent liabilities	<i>Are there contingent liabilities according to the annual financial statements pursuant to commercial law? Details of legal or actual obligations for which a cash outflow is rated unlikely or the amount cannot be reliably estimated.</i>
12	Total amount of intangible assets (excl. software) according to the annual financial statements	<i>Total amount of intangible assets according to the annual financial statements pursuant to commercial law (including start-up and organisational costs and goodwill) less software.</i>
13	Total amount of investments in associates and joint ventures according to the annual financial statement	<i>Book value of investments in associates and joint ventures according to the annual financial statements pursuant to commercial law.</i>
14	Amount of loans granted to interested or related parties or to companies controlled by these parties	
15	Required capital (pursuant to Art. 59 FinIO)	
16	Available qualifying capital (pursuant to Art. 60 ff FinIO)	<i>The available qualifying capital is the result of the eligible qualifying capital pursuant to Article 45 FinIO less the deductions pursuant to Article 46 FinIO</i>
17	Required capital (pursuant to Art. 44 FinIO)	
18	Available qualifying capital (pursuant to Art. 45 ff FinIO)	<i>The available qualifying capital is the result of the eligible qualifying capital pursuant to Article 45 FinIO less the deductions pursuant to Article 46 FinIO</i>
19	Professional liability insurance taken out pursuant to Article 44 para. 2 let. b FinIO	<i>It must be stated whether the asset manager has taken out professional liability insurance and if so how much the amount insured is.</i>
20	Amount of professional liability insurance cover	

21	Total of employees' contract hours expressed in full-time equivalents (including part-time positions)	<i>The employees' contract hours are to be stated as a percentage (100% per full-time equivalent) as at 31 December 2025 (no averages). The FTE percentages of all employed staff must be entered cumulatively, with apprentices only counted at 50%. Example: a fund management company employing three staff, two of whom work 100% and the other 60% (part-time), should enter 260% here.</i>
22	Number of employees (regardless of contract hours)	<i>The number of employees must be entered regardless of their contract hours. Example: a fund management company employing three staff, two of whom work 100% and the other 60% (part-time), should enter 3 here.</i>
23	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of risk management (incl. outsourcing)	<i>Cumulative FTE percentages of staff working at second level control in the area of risk management. If risk management or parts thereof have been outsourced to a third party, these FTE percentages must also be disclosed.</i>
24	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of compliance (incl. outsourcing)	<i>Cumulative FTE percentages of staff working in the area of compliance. If compliance activities or parts thereof have been outsourced to a third party, these FTE percentages must also be disclosed.</i>
B. Data on the Swiss collective investment schemes administered		
25	Total assets from Swiss collective investment schemes administered by the fund management company (net assets)	<i>The total net fund assets from all Swiss collective investment schemes administered by the fund management company must be disclosed (own and third-party).</i>
26	Number of administered Swiss collective investment schemes	<i>The total number of Swiss collective investment schemes administered must be disclosed (own and third-party).</i>
27	Total income from the administration of Swiss collective investment schemes	<i>The total income generated from the administration of Swiss collective investment schemes must be disclosed.</i>
28	Total assets administered for external fund management companies, SICAVs or LPs (net assets)	<i>The total net fund assets out of all fund assets administered for external fund management companies, SICAVs or LPs must be disclosed.</i>
29	Number of funds administered for external fund management companies, SICAVs or LPs	
30	Which services in the field of the administration of Swiss collective investment schemes are provided to third parties?	<i>Here services of fund management companies for third parties in the area of administration for Swiss collective investment schemes are to be listed. For example, these include the calculation of net asset value, determination of issue and redemption prices and accounting. Other activities must be specified in more detail.</i>
	Calculation of net asset value	
	Determination of issue and redemption prices	
	Accounting	
	Other activities (please specify)	
31	Which other activities in the field of the administration of Swiss collective investment schemes does the company provide to third parties?	<i>Other services must be listed and briefly explained.</i>
32	Income from services in the field of the administration of Swiss collective investment schemes provided to third parties	
33	Total assets administered of L-QIF (net assets)	<i>The sum of the net fund assets of all administered L-QIF must be disclosed</i>
34	Number of administered L-QIF	
C. Data on the managed collective investment schemes (portfolio management)		
<i>This part of the questionnaire must be completed if the company manages Swiss or foreign collective investment schemes in terms of portfolio management, i.e. if it makes the investment decision. A distinction is made between the management of Swiss (C.1) and foreign (C.2) collective investment schemes.</i>		
35	Does the company manage Swiss collective investment schemes?	
36	Does the company manage foreign collective investment schemes?	
37	Does the company manage small and/or mid cap strategies in collective investment schemes?	<i>Are collective investment schemes managed that invest primarily in companies with low or medium market capitalisation (small & mid caps)?</i>
38	Total assets managed through small cap and/or mid cap strategies	
39	Are private debt strategies managed in collective investment schemes?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
40	Total assets managed in private debt strategies	
41	Are structured products (including Actively Managed Certificates ("AMCs")) and/or other investment instruments with a derivative character used in the managed collective investment schemes?	<i>Indication of whether the above mentioned investment instruments are used in the portfolios of the managed collective investment schemes.</i>
42	Total assets of structured products used (including AMCs) in the portfolios of managed collective investment schemes	

43	Are cryptoassets used in the managed collective investment schemes?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of the portfolio management of collective investment schemes. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
44	Total of cryptoassets used in the collective investment schemes	
45	of which directly in tokens	
46	of which indirectly in tokens (e.g. via funds, ETP, ETF)	
47	Type of token, please select:	
	Payment token	
	Asset token	
	Utility token	
48	Total assets of crypto-based assets invested in the portfolios of managed collective investment schemes held with Swiss custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in Switzerland.</i>
49	Total assets of crypto-based assets invested in the portfolios of managed collective investment schemes held with foreign custodians subject to prudential supervision and insolvency protection	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody abroad under prudential supervision and bankruptcy protection.</i>
50	Total assets of crypto-based assets invested in the portfolios of managed collective investment schemes held with other foreign custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in other foreign jurisdictions (without prudential supervision and without bankruptcy protection).</i>
51	Are L-QIF managed?	
52	Total assets of L-QIF managed by the company (net fund assets)	
53	Number of managed L-QIF	
	C.1 Data on the managed Swiss collective investment schemes (portfolio management)	
54	Total assets of Swiss collective investment schemes managed by the company (net fund assets)	<i>The entire assets managed via Swiss collective investment schemes must be disclosed. These comprise the net fund assets (double counting permitted).</i>
55	Total assets of Swiss collective investment schemes including leverage (equivalent underlying assets pursuant to Art. 24 para. 2 let. a no. 1 FinIA)	<i>The entire assets managed via Swiss collective investment schemes must be disclosed. These comprise the net fund assets (double counting permitted). The net fund assets under management include assets acquired through the deployment of leverage (especially derivatives). The equivalent underlying assets (pursuant to Article 24 para. 2 let. a no. 1 FinIA) serve as the calculation basis.</i>
56	Number of managed Swiss collective investment schemes	
57	Are investment advisers consulted for specific Swiss collective investment schemes?	<i>Please indicate whether investment advisers are consulted for managed collective investment schemes.</i>
58	Number of investment advisers consulted	
59	Assets under management of Swiss collective investment schemes invested in financial instruments issued by group companies or the company itself	<i>The fund assets invested in financial instruments issued by the company or its group companies must be added together and disclosed.</i>
60	Assets under management of Swiss collective investment schemes invested in collective investment schemes managed or administered by the company itself	<i>The fund assets invested in financial instruments issued by the company or its group companies must be added together and disclosed.</i>
61	Total management fees from asset management of Swiss collective investment schemes	<i>All income generated through the management of Swiss collective investment schemes, excluding any performance fees.</i>
62	Total performance fees from asset management of Swiss collective investment schemes	<i>All income resulting from performance fees for the management of Swiss collective investment schemes.</i>
63	Is the portfolio management (sub-)delegated to foreign institutes?	<i>If so, please specify the country of domicile and the total net fund assets in said country.</i>
64	Countries of domicile of foreign institutes to which portfolio management is (sub-)delegated	
	No.	
	Country of domicile	
	Net fund assets	
	C.2 Data on the managed foreign collective investment schemes (portfolio management)	
65	Total assets of foreign collective investment schemes managed by the company (net fund assets)	<i>The entire assets managed via foreign collective investment schemes must be disclosed. These comprise the net fund assets.</i>
66	Total assets of foreign collective investment schemes including leverage	<i>The entire assets managed via foreign collective investment schemes must be disclosed. The net fund assets under management include assets acquired through the deployment of leverage (especially derivatives).</i>
67	Number of sub-funds of managed foreign collective investment schemes	
68	Are investment advisers consulted for specific foreign collective investment schemes?	<i>Please indicate whether investment advisers are consulted for managed collective investment schemes. If so, please specify their number.</i>
69	Number of investment advisers consulted	

70	Assets under management of foreign collective investment schemes invested in financial instruments issued by group companies or the company itself	<i>The fund assets invested in financial instruments issued by the company or its group companies must be added together and disclosed.</i>
71	Assets under management of foreign collective investment schemes invested in collective investment schemes managed or administered by the company itself	<i>The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.</i>
	Domicile(s) of the managed foreign collective investment schemes, please tick the applicable box(es):	
	EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand	
	Asia (excluding Japan, South Korea and Central Asia)	
	Latin America, Africa, Eastern Europe, Near East, Middle East, Central Asia	
	Caribbean and Atlantic (Cayman Islands, British Virgin Islands, Bermuda, Bahamas)	
	Other countries	
72	Total management fees from asset management of foreign collective investment schemes	<i>All income generated through the management of foreign collective investment schemes, excluding any performance fees.</i>
73	Total performance fees from asset management of foreign collective investment schemes	<i>All income resulting from performance fees for the management of foreign collective investment schemes.</i>
	D. Data on advisory mandates for collective investment schemes (investment advice)	<i>The following questions concern the business activity of investment advice for collective investment schemes. A distinction is made between Swiss (D.1) and foreign (D.2) collective investment schemes.</i>
74	Does the business activity include investment advice for Swiss collective investment schemes?	
75	Does the business activity include investment advice for foreign collective investment schemes?	
	D.1 Data on advisory mandates for Swiss collective investment schemes (investment advice)	
76	Total assets of advised Swiss collective investment schemes (investment advice) (net assets)	<i>If the company has advisory mandates for collective investment schemes, the entire net fund assets of Swiss collective investment schemes must be added together and disclosed. If advice is only provided for part of the assets of the collective investment scheme, only this part must be considered.</i>
77	Number of advised Swiss collective investment schemes	
78	Total assets of advised Swiss collective investment schemes of group companies	<i>The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.</i>
79	Income generated through advisory mandates	<i>The income that is generated through the provision of investment advice to Swiss collective investment schemes must be disclosed.</i>
	D.2 Data on advisory mandates for foreign collective investment schemes (investment advice)	
80	Total assets of advised foreign collective investment schemes (investment advice) (net assets)	<i>If the company has advisory mandates for collective investment schemes, the entire net fund assets of foreign collective investment schemes must be added together and disclosed. If advice is only provided for part of the assets of the collective investment scheme, only this part must be considered.</i>
81	Number of advised foreign collective investment schemes	
82	Total assets of advised foreign collective investment schemes of group companies	<i>The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.</i>
83	Income generated through advisory mandates	<i>The income that is generated through the provision of investment advice to foreign collective investment schemes must be disclosed.</i>
	E. Data on the individual asset management mandates	<i>The following questions concern the business activity of individual asset management. A distinction is made between Swiss (E.1) and foreign (E.2) professional and institutional clients and Swiss (E.3) and foreign (E.4) private clients. Please include data on asset under management from occupational pension schemes pursuant to Article 34 FinIO (registered and non-registered occupational pension schemes, employer-sponsored welfare funds, investment foundations, pillar 3a foundations, vested benefit foundations) in these section as well as in section J.</i>
84	Does the business activity include individual asset management for institutional clients?	
85	Does the business activity include individual asset management for professional clients?	
86	Does the business activity include individual asset management for private clients?	
	E.1 Swiss professional and institutional clients (excluding collective investment schemes)	
87	Total of assets under management	<i>The total amount of assets under management of Swiss professional and institutional clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.</i>
88	Total of assets under management in mandates of group companies	<i>Total of assets under management in individually managed mandates with an asset management agreement signed with a group company. Assets for which a mere advisory activity is exercised should not be included.</i>
89	Total of assets under management invested in collective investment schemes managed or advised by the company	<i>Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.</i>

90	Total of assets under management invested in financial instruments issued by group companies or the company itself	<i>Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.</i>
91	Income from individual asset management (management fees)	<i>All income generated through individual asset management for Swiss professional and institutional clients, excluding any performance fees.</i>
92	Income from performance fees	<i>All income resulting from performance fees from individual asset management for Swiss professional and institutional clients.</i>
93	Number of Swiss professional and institutional clients whose assets are under management	
94	Of which number of business relations newly established in the calendar year	
95	Type(s) of clients, please tick as appropriate	<i>This comprises a specification of Swiss professional and institutional clients; multiple selections are permitted. Please tick as appropriate.</i>
	Banks / Securities firms	
	Insurances	
	Pension funds	
	Investment foundations	
	Collective foundations	
	Investment companies	
	In-house funds	
	Other professional and/or institutional clients	
96	Do the Swiss professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?	<i>According to Article 5 FinSA, wealthy private clients and private investment structures established for them can declare their intention to be treated as professional clients (opting-out).</i>
97	Number of wealthy private clients	<i>Number of Swiss professional clients who have declared an opting-out pursuant to Article 5 FinSA</i>
98	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss professional and institutional clients?	<i>Indication of whether the above mentioned investment instruments are used in individual investment mandates for Swiss professional and institutional clients.</i>
99	Total assets of structured products used (including AMCs) in the client portfolios	<i>Total amount of assets in individual investment mandates of Swiss professional and institutional clients invested in structured products</i>
100	Income from structured products used (including AMCs)	<i>Total income resulting from the investments in structured products used in individual investment mandates of Swiss professional and institutional clients</i>
101	Are crypto-based assets used for Swiss professional and institutional clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for Swiss professional and institutional clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
102	Total crypto-based assets used in the client portfolios	<i>Disclosure of assets under management from individual asset management for Swiss professional and institutional clients that are invested in the investment instruments mentioned.</i>
103	of which directly in tokens	
104	of which indirectly in tokens (e.g. via funds, ETP, ETF)	
105	Type of token, please select:	
	Payment token	
	Asset token	
	Utility token	
106	Total assets of cryptoassets used in the client portfolios of Swiss custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in Switzerland.</i>
107	Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody abroad under prudential supervision and bankruptcy protection.</i>
108	Total assets of cryptoassets used in the client portfolios of other foreign custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in other foreign jurisdictions (without prudential supervision and without bankruptcy protection).</i>
109	Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss professional and institutional clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
110	Total assets of private debt products used in the client portfolios	
	E.2 Foreign professional and institutional clients (excluding collective investment schemes)	
111	Total assets under management	<i>The total amount of assets under management of foreign professional and institutional clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.</i>
112	Total of assets under management in mandates of group companies	<i>Total of assets under management in individually managed mandates with an asset management agreement signed with a group company. The assets under management must be stated without any advisory mandates.</i>
113	Total of assets invested in collective investment schemes managed or advised by the company	<i>Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.</i>
114	Total of assets under management invested in financial instruments issued by group companies or the company itself	<i>Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.</i>

115	Income from individual asset management (management fees)	<i>All income generated through individual asset management for foreign professional and institutional clients, excluding any performance fees.</i>
116	Income from performance fees	<i>All income resulting from performance fees from individual asset management for foreign professional and institutional clients.</i>
117	Number of foreign professional and institutional clients whose assets are under management	
118	Of which number of business relations newly established in the calendar year	
119	Type(s) of clients, please tick as appropriate	<i>This comprises a specification of foreign professional and institutional clients; multiple selections are permitted. Please tick as appropriate.</i>
	Banks / Securities firms	
	Insurances	
	Pension funds	
	Investment foundations	
	Collective foundations	
	Investment companies	
	In-house funds	
	Other professional and/or institutional clients	
120	Domicile(s) of clients/beneficial owners, please tick as appropriate	<i>In the case of foreign professional and institutional clients with asset management mandates, their domicile(s) must additionally be disclosed.</i>
	EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand	
	Asia (excluding Japan, South Korea and Central Asia)	
	Latin America, Africa, Eastern Europe, Middle East, Central Asia	
	Other countries	
121	Do the foreign professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?	<i>According to Article 5 FinSA, wealthy private clients and private investment structures established for them can declare their intention to be treated as professional clients (opting-out).</i>
122	Number of wealthy private clients	<i>Number of foreign professional clients who have declared an opting-out pursuant to Article 5 FinSA</i>
123	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign professional and institutional clients?	<i>Indication of whether the above mentioned investment instruments are used in individual investment mandates for foreign professional and institutional clients.</i>
124	Total assets of structured products used (including AMCs) in the client portfolios	<i>Total amount of assets in individual investment mandates of foreign professional and institutional clients invested in structured products</i>
125	Income from structured products used (including AMCs)	<i>Total income resulting from the investments in structured products used in individual investment mandates of foreign professional and institutional clients</i>
126	Are crypto-based assets used for foreign professional and institutional clients?	<i>Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign professional and institutional clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
127	Total crypto-based assets used in the client portfolios	<i>Disclosure of assets under management from individual asset management for foreign professional and institutional clients that are invested in the investment instruments mentioned.</i>
128	of which directly in tokens	
129	of which indirectly in tokens (e.g. via funds, ETP, ETF)	
130	Type of token, please select:	
	Payment token	
	Asset token	
	Utility token	
131	Total assets of cryptoassets used in the client portfolios of Swiss custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in Switzerland.</i>
132	Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody abroad under prudential supervision and bankruptcy protection.</i>
133	Total assets of cryptoassets used in the client portfolios of other foreign custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in other foreign jurisdictions (without prudential supervision and without bankruptcy protection).</i>
134	Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign professional and institutional clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
135	Total assets of private debt products used in the client portfolios	
	E.3 Swiss private clients	
136	Total assets under management	<i>The total amount of assets under management of Swiss private clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.</i>
137	Total of assets invested in collective investment schemes managed or advised by the company	<i>Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.</i>

138	Total of assets under management invested in financial instruments issued by group companies or the company itself	<i>Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.</i>
139	Income from individual asset management (management fees)	<i>All income generated through individual asset management for Swiss private clients, excluding any performance fees.</i>
140	Income from performance fees	<i>All income resulting from performance fees from individual asset management for Swiss private clients.</i>
141	Number of Swiss private clients whose assets are under management	
142	Of which number of business relations newly established in the calendar year	
143	Client group(s), please tick as appropriate	<i>Splitting clients in groups according to the size of their mandate. Multiple selections are possible. Please tick as appropriate.</i>
	Assets < CHF 100,000	
	Assets of CHF 100,000 to CHF 1,000,000	
	Assets of CHF 1,000,000 to CHF 30,000,000	
	Assets > CHF 30,000,000	
144	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?	<i>Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for Swiss private clients.</i>
145	Total assets of structured products used (including AMCs) in the client portfolios	<i>Disclosure of assets under management from individual asset management for Swiss private clients that are invested in structured products.</i>
146	Income from structured products used (including AMCs)	<i>All income resulting from structured products used from individual asset management for Swiss private clients.</i>
147	Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?	<i>Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for Swiss private clients.</i>
148	Total assets of CFDs and/or binary options used in the client portfolios	<i>Disclosure of assets under management from individual asset management for Swiss private clients that are invested in the investment instruments mentioned.</i>
149	Are crypto-based assets used for Swiss private clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for Swiss private clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
150	Total value of crypto-based assets used in the client portfolios	<i>Disclosure of assets under management from individual asset management for Swiss private clients that are invested in the investment instruments mentioned.</i>
151	of which directly in tokens	
152	of which indirectly in tokens (e.g. via funds, ETP, ETF)	
153	Type of token, please select:	
	Payment token	
	Asset token	
	Utility token	
154	Total assets of cryptoassets used in the client portfolios of Swiss custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in Switzerland.</i>
155	Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody abroad under prudential supervision and bankruptcy protection.</i>
156	Total assets of cryptoassets used in the client portfolios of other foreign custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in other foreign jurisdictions (without prudential supervision and without bankruptcy protection).</i>
157	Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
158	Total assets of private debt products used in the client portfolios	
	E.4 Foreign private clients	
159	Total assets under management	<i>The total amount of assets under management of foreign private clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.</i>
160	Total of assets invested in collective investment schemes managed or advised by the fund management company	<i>Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.</i>
161	Total of assets under management invested in financial instruments issued by group companies or the company itself	<i>Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.</i>
162	Income from individual asset management (management fees)	<i>All income generated through individual asset management for foreign private clients, excluding any performance fees.</i>
163	Income from performance fees	<i>All income resulting from performance fees from individual asset management for foreign private clients.</i>

164	Number of foreign private clients whose assets are under management	
165	Of which number of business relations newly established in the calendar year	
166	Client group(s), please tick as appropriate	<i>Splitting clients in groups according to the size of their mandate. Multiple selections are possible. Please tick as appropriate.</i>
	Assets < CHF 100,000	
	Assets of CHF 100,000 to CHF 1,000,000	
	Assets of CHF 1,000,000 to CHF 30,000,000	
	Assets > CHF 30,000,000	
167	Domicile(s) of clients/beneficial owners, please tick as appropriate	<i>In the case of foreign private clients with asset management mandates, their domicile(s) must additionally be disclosed.</i>
	EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand	
	Asia (excluding Japan, South Korea and Central Asia)	
	Latin America, Africa, Eastern Europe, Middle East, Central Asia	
	Other countries	
168	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign private clients?	<i>Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign private clients.</i>
169	Total assets of structured products used (including AMCs) in the client portfolios	<i>Disclosure of assets under management from individual asset management for foreign private clients that are invested in structured products.</i>
170	Income from structured products used (including AMCs)	<i>All income resulting from the structured products used from individual asset management for foreign private clients.</i>
171	Are contracts for difference ('CFD') and/or binary options used for foreign private clients?	<i>Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign private clients.</i>
172	Total assets of CFDs and/or binary options used in the client portfolios	<i>Total assets under management in discretionary portfolio management for foreign private clients who are invested in the mentioned investment instruments.</i>
173	Are crypto-based assets used for foreign private clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for foreign private clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
174	Total value of crypto-based assets used in the client portfolios	<i>Disclosure of assets under management from individual asset management for foreign private clients that are invested in the investment instruments mentioned.</i>
175	of which directly in tokens	
176	of which indirectly in tokens (e.g. via funds, ETP, ETF)	
177	Type of token, please select:	
	Payment token	
	Asset token	
	Utility token	
178	of which by Swiss custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in Switzerland.</i>
179	of which by foreign custodians with prudential supervision and bankruptcy protection	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody abroad under prudential supervision and bankruptcy protection.</i>
180	of which by other foreign custodians	<i>Indication of how much of the total assets of the invested crypto based assets are held in custody in other foreign jurisdictions (without prudential supervision and without bankruptcy protection).</i>
181	Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign private clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
182	Total assets of private debt products used in the client portfolios	
	F. Data on individual investment advice	<i>The following questions concern the business activity of individual investment advice. A distinction is made between Swiss (F.1) and foreign (F.2) professional and institutional clients and Swiss (F.3) and foreign (F.4) private clients. Please include data on individual investment advice for occupational pension schemes pursuant to Article 34 FinIO (registered and non-registered occupational pension schemes, employer-sponsored welfare funds, investment foundations, pillar 3a foundations, vested benefit foundations) in these section as well as in section J.</i>
183	Does the business activity include investment advice for individual mandates of institutional clients?	
184	Does the business activity include investment advice for individual mandates of professional clients?	

185	Does the business activity include investment advice for individual mandates of private clients?	
	F.1 Swiss professional and institutional clients	
186	Total of assets under individual investment advice	<i>Total assets affiliated with the company via an advisory mandate.</i>
187	Of which portfolio-related investment advisory services	<i>FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.</i>
188	Total of assets under individual investment advice from mandates by group companies	<i>The assets of other group companies affiliated via advisory mandates must be disclosed.</i>
189	Total income from advisory services provided to Swiss professional and institutional clients	<i>The income generated from the advisory activity must be disclosed.</i>
190	Number of Swiss professional and institutional clients with an advisory mandate	
191	Of which number of business relations newly established in the calendar year	
192	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss professional and institutional clients?	<i>Indication of whether the above mentioned investment instruments are used in the context of advisory mandates of Swiss professional and institutional clients</i>
193	Total assets of structured products used (including AMCs) in the client portfolios	<i>Total amount of assets in individual advisory mandates of Swiss professional and institutional clients invested in structured products</i>
194	Income from structured products used (including AMCs)	<i>Total income resulting from the investments in structured products used in individual advisory mandates of Swiss professional and institutional clients</i>
195	Are crypto-based assets used for Swiss professional and institutional clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advice for Swiss professional and institutional clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
196	Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss professional and institutional clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>
	F.2 Foreign professional and institutional clients	
197	Total of assets under individual investment advice	<i>Total assets affiliated with the company via an advisory mandate.</i>
198	Of which portfolio-related investment advisory services	<i>FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.</i>
199	Total of assets under individual investment advice from mandates by group companies	<i>The assets of other group companies affiliated via advisory mandates must be disclosed.</i>
200	Total income from advisory services provided to foreign professional and institutional clients	<i>The income generated from the investment advisory activity must be disclosed.</i>
201	Number of foreign professional and institutional clients with an advisory mandate	
202	Of which number of business relations newly established in the calendar year	
203	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign professional and institutional clients?	<i>Indication of whether the above mentioned investment instruments are used in the context of advisory mandates of foreign professional and institutional clients</i>
204	Total assets of structured products used (including AMCs) in the client portfolios	<i>Total amount of assets in individual advisory mandates of foreign professional and institutional clients invested in structured products</i>
205	Income from structured products used (including AMCs)	<i>Total income resulting from the investments in structured products used in individual advisory mandates of foreign professional and institutional clients</i>
206	Are crypto-based assets used for foreign professional and institutional clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advice for foreign professional and institutional clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
207	Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign professional and institutional clients?	<i>For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.</i>

	F.3 Swiss private clients	
208	Total of assets under individual investment advice	Total assets affiliated with the company via an advisory mandate
209	Of which portfolio-related investment advisory services	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.
210	Total income from investment advisory services provided to Swiss private clients	The income generated from the advisory activity for Swiss private individuals must be disclosed.
211	Number of Swiss private clients with an advisory mandate	
212	Of which number of business relations newly established in the calendar year	
213	Number of advisory mandates with assets in excess of CHF 30 million	Disclosure of the number of advisory mandates with assets in excess of CHF 30 million
214	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for Swiss private clients.
215	Total assets of structured products used (including AMCs) in the client portfolios	Disclosure of assets under advisory mandates from individual investment advice for Swiss private clients that are invested in structured products.
216	Income from structured products used (including AMCs)	All income resulting from structured products used from individual investment advice for Swiss private clients.
217	Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for Swiss private clients.
218	Are crypto-based assets used for Swiss private clients?	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advisory mandates for Swiss private clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).
219	Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?	For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.
	F.4 Foreign private clients	
220	Total of assets under individual investment advice	Total assets affiliated with the company via an advisory mandate
221	Of which portfolio-related investment advisory services	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.
222	Total income from investment advisory services provided to Swiss private clients	The income generated from the advisory activity for foreign private clients must be disclosed.
223	Number of Swiss private clients with an advisory mandate	
224	Of which number of business relations newly established in the calendar year	
225	Number of advisory mandates with assets in excess of CHF 30 million	Disclosure of the number of advisory mandates with assets in excess of CHF 30 million
226	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for foreign private clients.
227	Total assets of structured products used (including AMCs) in the client portfolios	Disclosure of assets under advisory mandates from individual investment advice for foreign private clients that are invested in structured products.
228	Income from structured products used (including AMCs)	All income resulting from structured products used from individual investment advice for foreign private clients.
229	Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for foreign private clients.
230	Are crypto-based assets used for Swiss private clients?	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advisory mandates for foreign private clients. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).
231	Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?	For the purposes of the present data collection, "Private Debt" or "Private Credit" refers to privately issued, non exchange traded debt instruments provided to companies by lenders outside the banking sector. These financing instruments are typically illiquid, individually negotiated, and may include senior, subordinated, or mezzanine forms of financing. The definition covers both direct investments (e.g., corporate lending, NAV financing, venture debt) and indirect investments (e.g., interests in private credit funds or CLOs) in the respective credit exposures.
	G.1 Data on the offer of financial instruments FinSA	

232	Information on the offer of financial instruments FinSA	<i>It must be stated whether an offer of a financial instrument exists and whether and how it is specifically offered. This must include whether the offer is addressed to private clients, professional clients or institutional clients. If the offer is made via an intermediary, it must be stated whether the latter is subject to prudential supervision by FINMA. This is normally the case if the intermediary is licensed as a bank (including branch offices), securities dealer, insurance company, manager of collective assets, asset manager or representative. Multiple answers are possible.</i>
	Direct offer to private clients	
	Direct offer to professional clients	
	Direct offer to institutional clients	
	Indirect offer via financial intermediaries subject to prudential supervision (banks including branch offices, securities dealers, insurance companies, managers of collective assets, representatives of foreign collective investment schemes)	
	Indirect offer via other intermediaries not subject to prudential supervision	
	Direct offer to foreign investors	
233	Income from the offer of financial instruments FinSA	<i>Only state the income from the offer of financial instruments and no asset management fees or performance fees of the products.</i>
	G.2 Data on business activity according to the Anti-Money	
234	Is the financial intermediary a fund management company that manages share accounts?	
235	Does one of the exceptions listed in Article 2 para. 4 AMLA apply?	<i>Article 2 para. 4 AMLA specifies which institutes and services are excepted from the scope of application of the AMLA.</i>
236	Is the institute subject to the obligations in connection with collective investment schemes pursuant to Article 40 para. 1 AMLO-FINMA?	<i>Article 40 AMLO-FINMA defines the money laundering obligations of fund management companies and CISA investment companies of non-listed Swiss collective investment schemes, provided that the condition set out in Article 40 para. 1 is met. Accordingly, it must be stated here whether the obligations pursuant to Article 40 AMLO-FINMA apply to the institute and thus whether the supervisory obligations must be fulfilled for Swiss collective investment schemes.</i>
237	Is the institute subject to the obligations in connection with collective investment schemes pursuant to Article 41 para. 1 AMLO-FINMA?	<i>Article 41 AMLO-FINMA defines the money laundering obligations of the asset manager of foreign collective investment schemes, provided that the conditions set out in this article are met. Accordingly, it must be stated here whether the obligations pursuant to Article 41 AMLO-FINMA apply to the asset manager and thus whether the obligations stipulated for foreign collective investment schemes are to be fulfilled.</i>
238	Number of permanent business relationships (master account) with PEPs as the contracting party, controller, beneficial owner of assets and/or power of attorney	
239	Number of permanent business relationships (master account) with private clients and/or private individuals as beneficial owners of managed assets (incl. double counting) < CHF 1,000,000	
240	Number of permanent business relationships (master account) with private clients and/or private individuals as beneficial owners of managed assets (incl. double counting) from CHF 1,000,000 to CHF 5,000,000	
241	Number of permanent business relationships (master account) with private clients and/or private individuals as beneficial owners of managed assets (incl. double counting) > CHF 5,000,000	
242	Number of permanent business relationships (master account) with unsupervised financial intermediaries	
243	Number of permanent business relationships (master account) with increased risk (total)	
244	Number of permanent business relationships (master account) with increased risk (newly established in the reporting year)	
245	Number of reports to the MROS in the reporting year	
246	Total assets under management (incl. double counting) of permanent business relationships (master account) with PEPs as the contracting party, controller, beneficial owner of assets and/or power of attorney	
247	Total assets under management (incl. double counting) of permanent business relationships (master account) with contracting parties and/or beneficial owners domiciled/residing in Southern/Eastern Europe (excluding EU countries), Africa, Central Asia, Western/Southern Asia (excluding India) and/or Latin America	

248	Total assets under management (incl. double counting) of permanent business relationships (master account) with increased risk	
249	Number of business relationships in which cryptoassets are booked/managed and/or VASP services are offered.	<i>FATF definition of "Virtual Assets" and "Virtual Asset Service Provider" (VASP): "A virtual asset is a digital representation of value that can be digitally traded, or transferred, and can be used for payment or investment purposes. Virtual assets do not include digital representations of fiat currencies, securities and other financial assets that are already covered elsewhere in the FATF Recommendations. VASP means any natural or legal person who is not covered elsewhere under the Recommendations, and as a business conducts one or more of the following activities or operations for or on behalf of another natural or legal person: i. exchange between virtual assets and fiat currencies; ii. exchange between one or more forms of virtual assets; iii. transfer of virtual assets [in this context of virtual assets, transfer means to conduct a transaction on behalf of another natural or legal person that moves a virtual asset from one virtual asset address or account to another]; iv. safekeeping and/or administration of virtual assets or instruments enabling control over virtual assets; and v. participation in and provision of financial services related to an issuer's offer and/or sale of virtual asset."</i>
	G.3 Information on cross-border activities	Any cross-border business activities of the company must be reported in this section.
250	Indication of the countries of domicile of the foreign collective investment schemes to which services are provided	
	No.	
	Country of domicile	
251	Indication of the countries of domicile of foreign private clients to whom services (asset management and/or investment advice) are provided	<i>State the country of domicile of the ultimate beneficial owner.</i>
	No.	
	Country of domicile	
252	Indication of the countries of domicile of foreign professional or institutional clients to whom services (asset management and/or investment advice) are provided	<i>State the country of domicile of the ultimate beneficial owner.</i>
	No.	
	Country of domicile	
253	Does the company have a physical presence abroad?	<i>Physical presence means the permanent physical presence of employees or other representatives of the institute for the provision of services abroad. This also includes a presence via branch offices and/or group companies.</i>
254	List of physical presences abroad	
	No.	
	Country of domicile	
255	Are there any activities with cross-border relevance requiring collaboration with intermediaries?	
256	Are tasks delegated to foreign service providers?	
257	Are custodian banks domiciled abroad used in individual asset management?	<i>The question is whether assets managed within the scope of asset management mandates are held at custodian banks domiciled abroad. The involvement of subcustodians by the custodian bank is not relevant here, but simply the domicile of the custodian bank responsible for safekeeping.</i>
258	Please state the country of domicile, the number of clients and the total of assets under management.	
	No.	
	Country of domicile	
	Number of clients	
	Total assets under management	
259	Is portfolio management delegated abroad as part of the management of collective investment schemes?	<i>Indication of whether the portfolio management of the collective investment schemes managed by the company is wholly or partially delegated to entities abroad (any intra group delegations must also be taken into account).</i>
260	Please state the country of domicile, the number of collective investment schemes and the total assets under management.	
	No.	
	Country of domicile	
	Number of collective investment schemes	
	Total assets under management	
261	Is the company registered as an investment adviser with the US Securities and Exchange Commission (SEC)?	
262	Does the company have a request for registration as an investment adviser pending with the US Securities and Exchange Commission (SEC)?	
263	Are there other licences or registrations abroad?	

264	Please specify: G.4 Other activities	According to the law, the fund management company and the manager of collective investment schemes can exercise other activities. These in particular include the conduct of fund business for foreign collective investment schemes and the representation of foreign collective investment schemes. If other activities are exercised, both the total fund assets affected and the income generated from them must be disclosed.
265	Are other activities conducted?	
	Fund business for foreign collective investment schemes pursuant to Article 26 para. 2 FinIA	
	Representation of foreign collective investment schemes	
	Management of or advice on structured products	
	Management of or advice on actively management certificates (AMC)	<i>By "management or advisory services", this is understood to mean the active management of, or active investment advice relating to, structured products. This question does not pertain to the use of structured products in client portfolios.</i>
	Other activities of the company in connection with structured products / special purpose vehicles / AMCs (e.g. administration)	<i>By "management or advisory services", this is understood to mean the active management of, or active investment advice relating to, AMCs. This question does not pertain to the use of AMCs in client portfolios.</i>
	None	<i>Indication of any additional activities related to structured products, Special Purpose Vehicles (SPVs) or AMCs, such as administration, governance tasks, operational support, reporting or similar services that do not already fall under management or advisory services.</i>
266	Are other activities conducted?	
	Fund business for foreign collective investment schemes	
	Representation of foreign collective investment schemes	
	Acquisition of interests from companies which are primarily active in the collective investment scheme business	
	Management of share accounts	
	Rendering of administrative services for collective investment schemes and similar investment vehicles such as in-house funds, investment foundations and investment companies	
	Safekeeping and technical administration of collective investment schemes	
	Management of or advice on structured products (including structured special purpose vehicles)	<i>By "management or advisory services", this is understood to mean the active management of, or active investment advice relating to, structured products. This question does not pertain to the use of structured products in client portfolios.</i>
	Management of or advice on actively management certificates (AMC)	<i>By "management or advisory services", this is understood to mean the active management of, or active investment advice relating to, AMCs. This question does not pertain to the use of AMCs in client portfolios.</i>
	Other activities of the company in connection with structured products / special purpose vehicles / AMCs (e.g. administration)	<i>Indication of any additional activities related to structured products, Special Purpose Vehicles (SPVs) or AMCs, such as administration, governance tasks, operational support, reporting or similar services that do not already fall under management or advisory services.</i>
	None	
267	Please indicate the other activities of the company in connection with structured products / special purpose vehicles / AMCs (e.g. administration)	
268	Total of fund assets for which foreign fund business is being performed	
269	Total income generated from foreign fund business	
270	Total income generated from representing foreign collective investment schemes	
271	Total of fund assets for which safekeeping and technical administration for collective investment schemes is performed	
272	Total income generated from safekeeping and technical administration for collective investment schemes	
273	Volume of managed and/or advised structured products (including structured special purpose vehicles)	
274	Number of managed and/or advised structured products (including structured special purpose vehicles)	
275	Domicile(s) of these managed and/or advised structured products (including structured special purpose vehicles)	
	EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand	
	Asia (excluding Japan, South Korea, Central Asia)	
	Latin America, Africa, Eastern Europe, Middle East, Central Asia	
	Caribbean and Atlantic (Cayman Islands, British Virgin Islands, Bermuda, Bahamas)	
	Other countries	

276	Volume of managed and/or advised actively managed certificates (AMC)	
277	Number of managed and/or advised actively managed certificates (AMCs)	
278	Domicile of these managed and/or advised actively managed certificates (AMCs)	
	EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand	
	Asia (excluding Japan, South Korea, Central Asia)	
	Latin America, Africa, Eastern Europe, Middle East, Central Asia	
	Caribbean and Atlantic (Cayman Islands, British Virgin Islands, Bermuda, Bahamas)	
	Other countries	
279	Are execution-only services provided to clients?	<i>If such services (merely receiving and executing client orders outside investment advisory or asset management mandates) are offered and performed, this must be stated here.</i>
280	Total assets from execution-only services provided to Swiss clients	
281	Number of Swiss clients for whom execution-only services are provided	
282	Total assets from execution-only services provided to foreign clients	
283	Number of foreign clients for whom execution-only services are provided	
284	Are crypto-based assets used for execution-only clients?	<i>Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of execution-only services. Crypto-based assets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on crypto-based assets must also be disclosed (underlying = crypto-based asset).</i>
285	Are further services in the areas of family office, structuring of investments and/or fiduciary provided?	<i>If the fund management company or asset manager provides further services in the areas of family office, structuring of investments and/or fiduciary services, this must be disclosed here.</i>
286	Are there other activities from which the company generates income?	
287	Describe the company's other income-generating activities.	
288	Total income generated from other activities	
289	In the course of your business activities, do you use AI applications? (yes/no)	<i>A narrow definition of artificial intelligence is applied and refers to complex methods such as 'neural networks', 'random forests' as well as 'generative AI'. Simpler statistical methods such as linear regressions are not to be listed.</i>
290	If yes, in which areas?	
	Asset management of collective investment schemes / individual mandates	
	Investment advice for collective investment schemes / individual mandates	
	Front office functions	
	Compliance & conduct	
	Risk management	
	Process optimisation	
	System monitoring	
	Research, summaries etc. with generative AI models	
	Other (please indicate)	
291	Please indicate	
	G.5 Investment of own funds	<i>In this section, details on the investments of own funds must be listed.</i>
292	Amount of own funds that are invested short term (maturity within twelve months / excluding investments in associates and joint ventures)	<i>Indication of liquid assets which can be sold within twelve months</i>
293	Number of transactions executed for investments of own funds	
294	Income generated from the investment of own funds	
	H. Operational risks	
295	How much money was lost in total as a result of operational errors?	<i>Details of financial losses caused by the licence holder in the reporting year. These also include losses assumed by third parties.</i>
296	How many significant NAV valuation errors in accordance with the AMAS guidelines occurred with regard to Swiss collective investment schemes in the reporting year?	<i>All NAV valuation errors must be listed that according to the AMAS guidelines for the valuation of assets of collective investment schemes and the handling of valuation errors for open-ended collective investment schemes are to be classified as significant.</i>
297	What was the extent of any resulting financial losses?	<i>Details of financial losses resulting from significant NAV valuation errors. Losses assumed by involved third parties must also be reported.</i>
298	How many active violations of the investment guidelines occurred with regard to the Swiss collective investment schemes in the reporting year?	<i>Details of the number of active violations of the investment rules for Swiss collective investment schemes.</i>
299	What was the extent of any resulting financial losses?	<i>Details of financial losses resulting from active violations of the investment rules. Losses assumed by involved third parties must also be reported.</i>

300	Was your institute affected by operational implications as a result of cyberattacks in the reporting year?	<i>A cyberattack is understood to be a targeted attack from outside on larger computer networks that are important for a specific infrastructure.</i>
301	What was the extent of any resulting financial losses?	
I. ESG / sustainability		
302	Does your institute have a sustainability strategy at the company level?	
303	Does your institute have a sustainability strategy at the level of managed collective investment scheme?	
304	Is your institute affected by the EU SFDR (Sustainable Finance Disclosure Regulation) (e.g. due to the management of EU funds)?	
305	Does your institute have internal, specialised ESG resources?	
306	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of ESG/sustainability	<i>The employees' contract hours are to be stated as a percentage (100% per full-time equivalent). The full-time equivalents of the employees working in the area of ESG / sustainability must be recorded cumulatively. Example: an institution employing three staff, one of whom works 50% in the area of ESG / sustainability should enter 50% here.</i>
307	Does your institute rely on ESG resources of the group?	
308	Are ESG/sustainability criteria a component part of the investment process?	
309	Do you use your own ESG ratings or scorings?	
310	Do you use external ESG ratings or scorings?	
311	From which providers do you use ESG ratings or scorings?	
312	Are ESG/sustainability risks taken into account in risk management/risk control?	<i>This question refers to ESG/sustainability risks in managed collective investment schemes</i>
313	Are ESG/sustainability risks taken into account in risk reporting?	<i>This question refers to ESG/sustainability risks in managed collective investment schemes</i>
314	Do employees at the point of sale receive appropriate training on offering ESG products?	
315	Do you manage collective investment schemes for which the investment strategy is aligned with ESG/sustainability criteria?	
316	Are ESG/sustainability criteria applied in any of your individual discretionary mandates?	<i>Discretionary mandates here refer to the individual asset management of mandates (private, professional and institutional clients).</i>
317	Number of individual discretionary mandates	
318	Total assets under management in these individual discretionary mandates	
319	Are ESG/sustainability criteria applied in any of your individual investment advisory mandates?	<i>Please consider individual advisory mandates from private as well as professional and institutional clients</i>
320	Number of individual investment advisory mandates	
321	Total assets under advisory in these individual investment advisory mandates	

	<p>J. Asset management of pension fund assets</p>	<p>Article 24 FinIA now classifies anyone who manages assets on a commercial basis in the name and on behalf of occupational pension schemes as a manager of collective assets as long as the specified thresholds are exceeded. Occupational pension schemes are defined as follows in accordance with Article 34 FinIO:</p> <ol style="list-style-type: none"> 1. Registered and non-registered occupational pension schemes, 2. Employer-sponsored welfare funds, 3. Investment foundations, 4. Pillar 3a foundations, 5. Vested benefits foundations. <p>An occupational pension scheme is considered to be a "registered" occupational pension scheme if it offers the compulsory part of the occupational pension. "Non-registered" occupational pension schemes are only active with regard to the non-compulsory part. Irrespective of this, registered and non-registered occupational pension schemes are supervised by the respective foundation supervisory authority.</p> <p>If the institution indirectly manages assets of a Swiss occupational pension scheme, meaning that no direct asset management agreement exists with the occupational pension scheme but the asset management has been delegated, these assets must also be reported here, provided they are known.</p> <p>The assets under management disclosed in this section are part of the assets already disclosed in section E. (data on the individual asset management mandates), and, in the case of indirect management via collective investment schemes, form part of the assets already captured in Section C. Information on managed collective investment schemes (portfolio management).</p> <p>The advisory assets disclosed in this section are part of the assets already disclosed in section F. (data on individual investment advice), and, in the case of indirect investment advice via collective investment schemes, form part of the assets already captured in Section D, Information on advisory mandates for collective investment schemes (investment</p>
322	<p>Does your institute manage Swiss occupational pension scheme assets for the purposes of Article 34 para. 2a FinIO?</p>	<p><i>If the institution indirectly manages assets of a Swiss pension fund, i.e. if no direct portfolio management agreement exists with the pension fund but the asset management has been delegated, these assets must also be indicated here, insofar as they are known.</i></p>
323	<p>Total assets under management for Swiss occupational pension schemes (direct and indirect)</p>	<p><i>If the institution indirectly manages assets of a Swiss pension fund, i.e. if no direct portfolio management agreement exists with the pension fund but the asset management has been delegated, these assets must also be indicated here, insofar as they are known.</i></p>
324	<p>Of which assets under management with a direct client relationship</p>	<p><i>Direct client relationship means that a contract exists between the asset manager or fund management company and the occupational pension scheme (the occupational pension scheme directly grants a mandate to the collective asset manager or the fund management company).</i></p>
325	<p>Of which assets under management with an "indirect" client relationship</p>	<p><i>Indirect client relationship means that no contract exists between the asset manager or fund management company and the occupational pension scheme. The contract exists, for example, between the bank and the occupational pension scheme and the bank delegates the asset management to the asset manager or fund management company. Indirect client relationships also include collective investment schemes for pension institutions.</i></p>
326	<p>Of which assets under management in collective investment schemes</p>	<p><i>Indication of the assets managed for occupational pension schemes in the form of collective investment schemes.</i></p>
327	<p>Total assets under management for Swiss occupational pension schemes where portfolio management is (sub-)delegated to a third party</p>	
328	<p>Number of Swiss occupational pension schemes with which an asset management contract exists</p>	
329	<p>For the mandates of Swiss occupational pension schemes for which the company provides asset management, please disclose the following further information:</p>	
	<p>No.</p>	
	<p>Type of occupational pension scheme</p>	
	<p>Amount of assets under management</p>	<p><i>If the exact ratio of the assets under management is not known, an estimate may be entered. Only mandates are to be disclosed for which an asset management contract directly with the Swiss occupational pension scheme exists</i></p>
	<p>Ratio of assets under management of the occupational pension scheme in question to its total assets (an estimate may be entered if not known)</p>	
330	<p>Do investment advisory mandates exist for Swiss occupational pension schemes?</p>	
331	<p>Total assets of Swiss occupational pension schemes with which an investment advisory mandate exists</p>	
332	<p>Number of Swiss occupational pension schemes with which an investment advisory mandate exists</p>	

333	In addition to asset management or investment advice, does your institute provide any other services for Swiss occupational pension schemes?	
334	In addition to asset management or investment advice, which other services does your institute provide for Swiss occupational pension schemes?	
	Business management	
	Risk management	
	Accounting	
	Other	
335	Description:	
336	Number of occupational pension schemes for which business management services are provided	
337	Total assets of occupational pension schemes for which business management services are provided	
338	Are there employees who work at both your institute and a Swiss occupational pension scheme and/or do employees of your institute perform other mandates for a Swiss occupational pension scheme?	
339	Describe the mandates performed and the relationship of the occupational pension scheme to your institute	<i>Briefly describe the personnel overlap and/or the performed mandates</i>
	K. Comments and feedback in connection with the data collection form	
340	Comments and feedback in connection with the data collection form	<i>Comments or remarks connected with the data collection form or necessary for interpreting the data. For example, if the observation period does not amount to 12 months (e.g. due to an extended financial year or because the licence was granted less than 12 months ago) this should be mentioned here.</i>