

GB-A Data collection

Version 03/2026

General data

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.

Institute

FINMA ID

FINMA license

Name of contact person

Telephone number

Email

A. Financial data

1 Gross income

2 Total of fixed costs (pursuant to Art. 44 para. 1 FinIO in conjunction with paras. 4 and 5 FinIO)

3 Total of variable salary components

- 4 Annual profit / loss (before non-operating / extraordinary results and taxes)
- 5 Annual profit / loss
- 6 Dividends paid
 Yes No
- 7 Total amount of dividends paid
- 8 Shareholders' equity
- 9 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)?
 Yes No
- 10 Provisions
- 11 Contingent liabilities
 Yes No
- 12 Total amount of intangible assets (excl. software) according to the annual financial statements
- 13 Total amount of investments in associates and joint ventures according to the annual financial statement
- 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)
- 17 Required capital (pursuant to Art. 44 FinIO)
- 18 Available qualifying capital (pursuant to Art. 45 ff FinIO)
- 19 Professional liability insurance taken out pursuant to Article 44 para. 2 let. b FinIO
 Yes No
- 20 Amount of professional liability insurance cover

- 21 Total of employees' contract hours expressed in full-time equivalents (including part-time positions)
- 22 Number of employees (regardless of contract hours)
- 23 Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of risk management (incl. outsourcing)
- 24 Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of compliance (incl. outsourcing)

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)
- 26 Number of administered Swiss collective investment schemes
- 27 Total income from the administration of Swiss collective investment schemes
- 28 Total assets administered for external fund management companies, SICAVs or LPs (net assets)
- 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?
 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?
- 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)
- 34 Number of administered L-QIF

C. Data on the managed collective investment schemes (portfolio management)

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.

35 Does the company manage Swiss collective investment schemes?
 Yes No

36 Does the company manage foreign collective investment schemes?
 Yes No

37 Does the company manage small and/or mid cap strategies in collective investment schemes?
 Yes No

38 Total assets managed through small cap and/or mid cap strategies

CHF

39 Does the company manage private debt strategies in collective investment schemes?
 Yes No

40 Total assets managed in private debt strategies

CHF

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?
 Yes No

42 Total assets of structured products used (including AMCs) in the portfolios of managed collective investment schemes

CHF

43 Are cryptoassets used in the managed collective investment schemes?
 Yes No

44 Total of crypto-based assets used in the collective investment schemes

CHF

45 of which directly in tokens

CHF

46 of which indirectly (e.g. via funds, ETP, ETF)

CHF

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

CHF

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

CHF

50 Total assets of crypto-based assets invested in the portfolios of managed collective investment schemes held with other foreign custodians

CHF

51 Are L-QIF managed?

Yes No

52 Total assets of L-QIF managed by the company (net fund assets)

CHF

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)

CHF

55 Total assets of Swiss collective investment schemes including leverage (equivalent underlying assets pursuant to Art. 24 para. 2 let. a no. 1 FinIA)

CHF

56 Number of managed Swiss collective investment schemes

57 Are investment advisers consulted for specific Swiss collective investment schemes?

Yes No

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

CHF

60 Assets under management of Swiss collective investment schemes invested in collective investment schemes managed or administered by the company itself

CHF

61 Total management fees from asset management of Swiss collective investment schemes

CHF

62 Total performance fees from asset management of Swiss collective investment schemes

CHF

63 Is the portfolio management (sub-)delegated to foreign institutes?

Yes No

64 Countries of domicile of foreign institutes to which portfolio management is (sub-)delegated

No.	Country of domicile	Net fund assets
		CHF

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)
- 66 Total assets of foreign collective investment schemes including leverage
- 67 Number of sub-funds of managed foreign collective investment schemes
- 68 Are investment advisers consulted for specific foreign collective investment schemes?
 Yes No
- 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
- 71 Assets under management of foreign collective investment schemes invested in collective investment schemes managed or administered by the company itself
- Domicile(s) of the managed foreign collective investment schemes. Tick as appropriate:
- 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
- 73 Total performance fees from asset management of foreign collective investment schemes

D. Data on advisory mandates for collective investment schemes (investment advice)

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.

- 74 Does the business activity include investment advice for Swiss collective investment schemes?
 Yes No
- 75 Does the business activity include investment advice for foreign collective investment schemes?
 Yes No

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)
- 77 Number of advised Swiss collective investment schemes
- 78 Total assets of advised Swiss collective investment schemes of group companies
- 79 Income generated through advisory mandates

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)
- 81 Number of advised foreign collective investment schemes
- 82 Total assets of advised foreign collective investment schemes of group companies
- 83 Income generated through advisory mandates

E. Data on the individual asset management mandates

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.

- 84 Does the business activity include individual asset management for institutional clients?
 Yes No
- 85 Does the business activity include individual asset management for professional clients?
 Yes No
- 86 Does the business activity include individual asset management for private clients?
 Yes No

E.1 Swiss professional and institutional clients (excluding collective investment schemes)

87	Total of assets under management	CHF
88	Total of assets under management in mandates of group companies	CHF
89	Total of assets under management invested in collective investment schemes managed or advised by the company	CHF
90	Total of assets under management invested in financial instruments issued by group companies or the company itself	CHF
91	Income from individual asset management (management fees)	CHF
92	Income from performance fees	CHF
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 <input type="checkbox"/> Banks / Securities firms <input type="checkbox"/> Insurances <input type="checkbox"/> Pension funds <input type="checkbox"/> Investment foundations <input type="checkbox"/> Collective foundations <input type="checkbox"/> Investment companies <input type="checkbox"/> In-house funds <input type="checkbox"/> 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?	
97	Number of wealthy private clients	
98	Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss professional and institutional clients? <input type="radio"/> Yes <input type="radio"/> No	
99	Total assets of structured products used (including AMCs) in the client portfolios	CHF
100	Income from structured products used (including AMCs)	CHF

- 101 Are cryptoassets used for Swiss professional and institutional clients?
 Yes No
- 102 Total crypto-based assets used in the client portfolios
- 103 of which directly in tokens
- 104 of which indirectly (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
- 107 Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection
- 108 Total assets of cryptoassets used in the client portfolios of other foreign custodians
- 109 Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss professional and institutional clients?
 Yes No
- 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
- 112 Total of assets under management in mandates of group companies
- 113 Total of assets invested in collective investment schemes managed or advised by the company
- 114 Total of assets under management invested in financial instruments issued by group companies or the company itself
- 115 Income from individual asset management (management fees)
- 116 Income from performance fees

- 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
 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
 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?
- 122 Number of wealthy private clients
- 123 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign professional and institutional clients?
 Yes No
- 124 Total assets of structured products used (including AMCs) in the client portfolios
- 125 Income from structured products used (including AMCs)
- 126 Are crypto-based assets used for foreign professional and institutional clients?
 Yes No
- 127 Total cryptoassets used in the client portfolios
- 128 of which directly in tokens
- 129 of which indirectly (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

132 Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection

CHF

133 Total assets of cryptoassets used in the client portfolios of other foreign custodians

CHF

134 Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign professional and institutional clients?

Yes No

135 Total assets of private debt products used in the client portfolios

CHF

E.3 Swiss private clients

136 Total assets under management

CHF

137 Total of assets invested in collective investment schemes managed or advised by the company

CHF

138 Total of assets under management invested in financial instruments issued by group companies or the company itself

CHF

139 Income from individual asset management (management fees)

CHF

140 Income from performance fees

CHF

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

- 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?

Yes No

145 Total assets of structured products used (including AMCs) in the client portfolios

CHF

146 Income from structured products used (including AMCs)

CHF

- 147 Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?
 Yes No
- 148 Total assets of CFDs and/or binary options used in the client portfolios
- 149 Are cryptoassets used for Swiss private clients?
 Yes No
- 150 Total cryptoassets used in the client portfolios
- 151 of which directly in tokens
- 152 of which indirectly (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
- 155 Total assets of cryptoassets used in the client portfolios of foreign custodians with prudential supervision and bankruptcy protection
- 156 Total assets of cryptoassets used in the client portfolios of other foreign custodians
- 157 Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?
 Yes No
- 158 Total assets of private debt products used in the client portfolios

E.4 Foreign private clients

- 159 Total assets under management
- 160 Total of assets invested in collective investment schemes managed or advised by the fund management company
- 161 Total of assets under management invested in financial instruments issued by group companies or the company itself
- 162 Income from individual asset management (management fees)

- 163 Income from performance fees
- 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
 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
 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?
 Yes No
- 169 Total assets of structured products used (including AMCs) in the client portfolios
- 170 Income from structured products used (including AMCs)
- 171 Are contracts for difference ('CFD') and/or binary options used for foreign private clients?
 Yes No
- 172 Total assets of CFDs and/or binary options used in the client portfolios
- 173 Are crypto-based assets used for foreign private clients?
 Yes No
- 174 Total crypto-based assets used in the client portfolios
- 175 of which directly in tokens
- 176 of which indirectly (e.g. via funds, ETP, ETF)
- 177 Type of token, please select:
 Payment token
 Asset token
 Utility token
- 178 of which by Swiss custodians

179 of which by foreign custodians with prudential supervision and bankruptcy protection

CHF

180 of which by other foreign custodians

CHF

181 Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign private clients?

Yes No

182 Total assets of private debt products used in the client portfolios

CHF

F. Data on individual investment advice

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.

183 Does the business activity include investment advice for individual mandates of institutional clients?

Yes No

184 Does the business activity include investment advice for individual mandates of professional clients?

Yes No

185 Does the business activity include investment advice for individual mandates of private clients?

Yes No

F.1 Swiss professional and institutional clients

186 Total of assets under individual investment advice

CHF

187 Of which portfolio-related investment advisory services

CHF

188 Total of assets under individual investment advice from mandates by group companies

CHF

189 Total income from advisory services provided to Swiss professional and institutional clients

CHF

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?

Yes No

193 Total assets of structured products used (including AMCs) in the client portfolios

CHF

194 Income from structured products used (including AMCs)

CHF

195 Are cryptoassets used for Swiss professional and institutional clients?

Yes No

196 Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss professional and institutional clients?

Yes No

F.2 Foreign professional and institutional clients

197 Total of assets under individual investment advice

CHF

198 Of which portfolio-related investment advisory services

CHF

199 Total of assets under individual investment advice from mandates by group companies

CHF

200 Total income from advisory services provided to foreign professional and institutional clients

CHF

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?

Yes No

204 Total assets of structured products used (including AMCs) in the client portfolios

CHF

205 Income from structured products used (including AMCs)

CHF

206 Are cryptoassets used for foreign professional and institutional clients?

Yes No

207 Are private debt products used (directly or indirectly [e.g. via target funds]) for foreign professional and institutional clients?

Yes No

F.3 Swiss private clients

208 Total of assets under individual investment advice

CHF

- 209 Of which portfolio-related investment advisory services
- 210 Total income from investment advisory services provided to Swiss private clients
- 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
- 214 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?
 Yes No
- 215 Total assets of structured products used (including AMCs) in the client portfolios
- 216 Income from structured products used (including AMCs)
- 217 Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?
 Yes No
- 218 Are cryptoassets used for Swiss private clients?
 Yes No
- 219 Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?
 Yes No

F.4 Foreign private clients

- 220 Total of assets under individual investment advice
- 221 Of which portfolio-related investment advisory services
- 222 Total income from advisory services provided to foreign private clients
- 223 Number of foreign 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
- 226 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign private clients?
 Yes No
- 227 Total assets of structured products used (including AMCs) in the client portfolios
- 228 Income from structured products used (including AMCs)
- 229 Are contracts for difference ('CFD') and/or binary options used for foreign private clients?
 Yes No
- 230 Are cryptoassets used for foreign private clients?
 Yes No
- 231 Are private debt products used (directly or indirectly [e.g. via target funds]) for Swiss private clients?
 Yes No

G.1 Data on the offer of financial instruments FinSA

- 232 Information on the offer of financial instruments FinSA
- 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

G.2 Data on business activity according to the Anti-Money Laundering Act AMLA

- 234 Is the financial intermediary a fund management company that manages share accounts?
 Yes No
- 235 Does one of the exceptions listed in Article 2 para. 4 AMLA apply?
 Yes No
- 236 Is the institute subject to the obligations in connection with collective investment schemes pursuant to Article 40 para. 1 AMLO-FINMA?
 Yes No
- 237 Is the institute subject to the obligations in connection with collective investment schemes pursuant to Article 41 para. 1 AMLO-FINMA?
 Yes No
- 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.

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
<input type="text"/>	<input type="text"/>

251 Indication of the countries of domicile of the foreign private clients to which services (asset management and /or investment advice) are provided

No.	Country of domicile
<input type="text"/>	<input type="text"/>

252 Indication of the countries of domicile of the foreign professional or institutional clients to which services (asset management and/or investment advice) are provided.

No.	Country of domicile
<input type="text"/>	<input type="text"/>

253 Does the company have a physical presence abroad?
 Yes No

254 List of physical presences abroad

No.	Country of domicile
<input type="text"/>	<input type="text"/>
invisible: rowid-P	<input type="text"/>

255 Are there any activities with cross-border relevance requiring collaboration with intermediaries?
 Yes No

256 Are tasks delegated to foreign service providers?
 Yes No

257 Are custodian banks domiciled abroad used in individual asset management?
 Yes No

258 Please state the country of domicile, the number of clients and the total of assets under management.

No.	Country of domicile
<input type="text"/>	<input type="text"/>
invisible: Number of clients rowid-D	<input type="text"/>
	Total assets under management <input type="text"/>
	CHF <input type="text"/>

- 259 Is portfolio management delegated abroad as part of the management of collective investment schemes?
 Yes No
- 260 Please state the country of domicile, the number of collective investment schemes and the total assets under management.

invisible: rowid-D	No.	Country of domicile
<input type="text"/>	<input type="text"/>	<input type="text"/>
		Number of collective investment schemes
		<input type="text"/>
		Total assets under management
		<input type="text" value="CHF"/>

- 261 Is the company registered as an investment adviser with the US Securities and Exchange Commission (SEC)?
 Yes No
- 262 Does the company have a request for registration as an investment adviser pending with the US Securities and Exchange Commission (SEC)?
 Yes No
- 263 Are there other licences or registrations abroad?
 Yes No
- 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)
 - Other activities of the company in connection with structured products / special purpose vehicles / AMCs (e.g. administration)
 - None

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)
- Management of or advice on actively management certificates (AMC)
- Other activities of the company in connection with structured products / special purpose vehicles / AMCs (e.g. administration)
- 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

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?

Yes No

280 Total assets from execution-only services to clients

CHF

281 Number of clients for whom execution-only services are provided

282 Total assets from execution-only services provided to foreign clients

CHF

283 Number of foreign clients for whom execution-only services are provided

284 Are crypto-based assets used for execution-only clients?

Yes No

285 Are further services in the areas of family office, structuring of investments and/or fiduciary provided?

Yes No

286 Are there other activities from which the company generates income?

Yes No

287 Describe the company's other income-generating activities.

288 Total income generated from other activities

CHF

289 In the course of your business activities, do you use AI applications?

Yes No

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

In this section, details of transactions related to the investments of own funds must be listed

292 Amount of own funds that are invested short term (maturity within twelve months / excluding investments in associates and joint ventures)

CHF

293 Number of transactions executed for investments of own funds

294 Income generated from the investment of own funds

CHF

H. Operational risks

295 How much money was lost in total as a result of operational errors?

CHF

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?

297 What was the extent of any resulting financial losses?

CHF

298 How many active violations of the investment guidelines occurred with regard to the Swiss collective investment schemes in the reporting year?

299 What was the extent of any resulting financial losses?

CHF

300 Was your institute affected by operational implications as a result of cyberattacks in the reporting year?

Yes No

301 What was the extent of any resulting financial losses?

CHF

I. ESG / sustainability

302 Does your institute have a sustainability strategy at the company level?

Yes No

303 Does your institute have a sustainability strategy at the level of managed collective investment scheme?

Yes No

304 Is your institute affected by the EU SFDR (Sustainable Finance Disclosure Regulation) (e.g. due to the management of EU funds)?

Yes No

305 Does your institute have internal, specialised ESG resources?

Yes No

306 Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of ESG/ sustainability

307 Does your institute rely on ESG resources of the group?

Yes No

308 Are ESG/sustainability criteria a component part of the investment process?

Yes No

309 Do you use your own ESG ratings or scorings?

Yes No

310 Do you use external ESG ratings or scorings?

Yes No

311 From which providers do you use ESG ratings or scorings?

312 Are ESG/sustainability risks taken into account in risk management/risk control?

Yes No

313 Are ESG/sustainability risks taken into account in risk reporting?

Yes No

314 Do employees at the point of sale receive appropriate training on offering ESG products?

Yes No

315 Do you manage collective investment schemes for which the investment strategy is aligned with ESG /sustainability criteria?

Yes No

316 Are ESG/sustainability criteria applied in any of your individual discretionary mandates?

Yes No

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?

Yes No

320 Number of individual investment advisory mandates

321 Total assets under advisory in these individual investment advisory mandates

J. Asset management of pension fund assets

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:

1. Registered and non-registered occupational pension schemes,

2. Employer-sponsored welfare funds,
3. Investment foundations,
4. Pillar 3a foundations,
5. Vested benefits foundations.

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.

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.

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).

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 advisory).

322 Does your institute manage Swiss occupational pension scheme assets for the purposes of Article 34 para. 2a FinIO?

Yes No

323 Total assets under management for Swiss occupational pension schemes (direct and indirect)

CHF

324 Of which assets under management with a direct client relationship

CHF

325 Of which assets under management with an "indirect" client relationship

CHF

326 Of which assets under management in collective investment schemes

CHF

327 Total assets under management for Swiss occupational pension schemes where portfolio management is (sub-)delegated to a third party

CHF

328 Number of Swiss occupational pension schemes with which an asset management contract exists

329 For the mandates of Swiss occupational pension schemes for which the company provides asset management, please disclose the following further information

No.	Type of occupational pension scheme
<input type="text"/>	<input type="text"/>
<input type="text"/>	Amount of assets under management
	<input type="text" value="CHF"/>
	Ratio of assets under management of the occupational pension scheme in question to its total assets (an estimate may be entered if not known)
	<input type="text"/>

330 Do investment advisory mandates exist for Swiss occupational pension schemes?
 Yes No

331 Total assets of Swiss occupational pension schemes with which an investment advisory mandate exists

332 Number of Swiss occupational pension schemes with which an investment advisory mandate exists

333 In addition to asset management or investment advice, does your institute provide any other services for Swiss occupational pension schemes?

Yes No

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 (please describe)

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?

Yes No

339 Describe the mandates performed and the relationship of the occupational pension scheme to your institute

K. Comments and feedback in connection with the data collection form

340 Comments and feedback in connection with the data collection form

