

# GB-A Data collection

Version 02/2025

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## 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 2024. All other amounts are to be stated as per the balance sheet date of 31 December 2024.

The fund assets are to be stated as net fund assets.

Please list only activities that were actually carried out in the year 2024 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

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## 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)	<input type="text" value="CHF"/>
3	Total of variable salary components	<input type="text" value="CHF"/>
4	Annual profit / loss (before non-operating / extraordinary results and taxes)	<input type="text" value="CHF"/>
5	Annual profit / loss	<input type="text" value="CHF"/>
6	Dividends paid <input type="radio"/> Yes <input type="radio"/> No	
7	Total amount of dividends paid	<input type="text" value="CHF"/>
8	Shareholders' equity	<input type="text" value="CHF"/>
9	Is there a capital loss or overindebtedness according to Article 725 CO during the financial year (regardless of loss or profit)? <input type="radio"/> Yes <input type="radio"/> No	
10	Provisions	<input type="text" value="CHF"/>
11	Contingent liabilities <input type="radio"/> Yes <input type="radio"/> No	
12	Total amount of intangible assets (excl. software) according to the annual financial statements	<input type="text" value="CHF"/>
13	Total amount of investments in associates and joint ventures according to the annual financial statement	<input type="text" value="CHF"/>
14	Amount of loans granted to interested or related parties or to companies controlled by these parties	<input type="text" value="CHF"/>
15	Required capital (pursuant to Art. 59 FinIO)	<input type="text" value="CHF"/>
16	Available qualifying capital (pursuant to Art. 60 ff FinIO)	<input type="text" value="CHF"/>
17	Required capital (pursuant to Art. 44 FinIO)	<input type="text" value="CHF"/>
18	Available qualifying capital (pursuant to Art. 45 ff FinIO)	<input type="text" value="CHF"/>

- 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

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- 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

CHF

33 Total assets administered of L-QIF (net assets)

CHF

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 Are private debt strategies managed in collective investment schemes?

Yes  No

40 Total assets managed in private debt strategies

CHF

41 Are cryptoassets used in the managed collective investment schemes?

Yes  No

42 Total of cryptoassets used in the collective investment schemes

CHF

43 of which directly in tokens

CHF

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

CHF

45 Type of token, please select:

- Payment token
- Asset token
- Utility token

46 Place of custody, please select:

- Switzerland
- Abroad

47 Are L-QIF managed?

Yes  No

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

CHF

49 Number of managed L-QIF

### C.1 Data on the managed Swiss collective investment schemes (portfolio management)

50 Total assets of Swiss collective investment schemes managed by the company (net fund assets)

CHF

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

CHF

52 Number of managed Swiss collective investment schemes

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

Yes  No

54 Number of investment advisers consulted

55 Assets under management of Swiss collective investment schemes invested in financial instruments issued by group companies or the company itself

CHF

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

CHF

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

CHF

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

CHF

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

Yes  No

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

No.	Country of domicile	Net fund assets
1		CHF

## C.2 Data on the managed foreign collective investment schemes (portfolio management)

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- 61 Total assets of foreign collective investment schemes managed by the company (net fund assets)
- 62 Total assets of foreign collective investment schemes including leverage
- 63 Number of managed foreign collective investment schemes
- 64 Are investment advisers consulted for specific foreign collective investment schemes?  
 Yes  No
- 65 Number of investment advisers consulted
- 66 Assets under management of foreign collective investment schemes invested in financial instruments issued by group companies or the company itself
- 67 Assets under management of foreign collective investment schemes invested in collective investment schemes managed or administered by the company itself
- 68 Total management fees from asset management of foreign collective investment schemes
- 69 Total performance fees from asset management of foreign collective investment schemes

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

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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.

- 70 Does the business activity include investment advice for Swiss collective investment schemes?  
 Yes  No
- 71 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)

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- 72 Total assets of advised Swiss collective investment schemes (investment advice) (net assets)

- 73 Number of advised Swiss collective investment schemes
- 74 Total assets of advised Swiss collective investment schemes of group companies
- 85 Income generated through advisory mandates

## D.2 Data on advisory mandates for foreign collective investment schemes (investment advice)

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- 76 Total assets of advised foreign collective investment schemes (investment advice) (net assets)
- 77 Number of advised foreign collective investment schemes
- 78 Total assets of advised foreign collective investment schemes of group companies
- 79 Income generated through advisory mandates

## E. Data on the individual asset management mandates

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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.

- 80 Does the business activity include individual asset management for institutional clients?  
 Yes  No
- 81 Does the business activity include individual asset management for professional clients?  
 Yes  No
- 82 Does the business activity include individual asset management for private clients?  
 Yes  No

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

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- 83 Total of assets under management
- 84 Total of assets under management in mandates of group companies

- 85 Total of assets under management invested in collective investment schemes managed or advised by the company
- 86 Total of assets under management invested in financial instruments issued by group companies or the company itself
- 87 Income from individual asset management (management fees)
- 88 Income from performance fees
- 89 Number of Swiss professional and institutional clients whose assets are under management
- 90 Of which number of business relations newly established in the calendar year
- 91 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
- 92 Do the Swiss professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?
- 93 Number of wealthy private clients
- 94 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
- 95 Total assets of structured products used (including AMCs) in the client portfolios
- 96 Income from structured products used (including AMCs)
- 97 Are cryptoassets used for Swiss professional and institutional clients?  
 Yes  No
- 98 Total cryptoassets used in the client portfolios
- 99 of which directly in tokens



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

CHF

101 Type of token, please select:

- Payment token
- Asset token
- Utility token

102 Place of custody, please select:

- Switzerland
- Abroad

## E.2 Foreign professional and institutional clients (excluding collective investment schemes)

103 Total assets under management

CHF

104 Total of assets under management in mandates of group companies

CHF

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

CHF

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

CHF

107 Income from individual asset management (management fees)

CHF

108 Income from performance fees

CHF

109 Number of foreign professional and institutional clients whose assets are under management

110 Of which number of business relations newly established in the calendar year

111 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

- 112 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
- 113 Do the foreign professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?
- 114 Number of wealthy private clients
- 115 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
- 116 Total assets of structured products used (including AMCs) in the client portfolios
- 117 Income from structured products used (including AMCs)
- 118 Are crypto-based assets used for foreign professional and institutional clients?  
 Yes  No
- 119 Total cryptoassets used in the client portfolios
- 120 of which directly in tokens
- 121 of which indirectly (e.g. via funds, ETP, ETF)
- 122 Type of token, please select:  
 Payment token  
 Asset token  
 Utility token
- 123 Place of custody, please select:  
 Switzerland  
 Abroad

### E.3 Swiss private clients

- 124 Total assets under management
- 125 Total of assets invested in collective investment schemes managed or advised by the company
- 126 Total of assets under management invested in financial instruments issued by group companies or the company itself

- 127 Income from individual asset management (management fees)
- 128 Income from performance fees
- 129 Number of Swiss private clients whose assets are under management
- 130 Of which number of business relations newly established in the calendar year
- 131 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
- 132 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?  
 Yes  No
- 133 Total assets of structured products used (including AMCs) in the client portfolios
- 134 Income from structured products used (including AMCs)
- 135 Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?  
 Yes  No
- 136 Total assets of CFDs and/or binary options used in the client portfolios
- 137 Are cryptoassets used for Swiss private clients?  
 Yes  No
- 138 Total cryptoassets used in the client portfolios
- 139 of which directly in tokens
- 140 of which indirectly (e.g. via funds, ETP, ETF)
- 141 Type of token, please select:  
 Payment token  
 Asset token  
 Utility token
- 142 Place of custody, please select:  
 Switzerland  
 Abroad

## E.4 Foreign private clients

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- 143 Total assets under management
- 144 Total of assets invested in collective investment schemes managed or advised by the fund management company
- 145 Total of assets under management invested in financial instruments issued by group companies or the company itself
- 146 Income from individual asset management (management fees)
- 147 Income from performance fees
- 148 Number of foreign private clients whose assets are under management
- 149 Of which number of business relations newly established in the calendar year
- 150 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
- 151 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
- 152 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign private clients?  
 Yes  No
- 153 Total assets of structured products used (including AMCs) in the client portfolios
- 154 Income from structured products used (including AMCs)
- 155 Are contracts for difference ('CFD') and/or binary options used for foreign private clients?  
 Yes  No
- 156 Total assets of CFDs and/or binary options used in the client portfolios

157 Are cryptoassets used for foreign private clients?

Yes  No

158 Total cryptoassets used in the client portfolios

CHF

159 of which directly in tokens

CHF

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

CHF

161 Type of token, please select:

- Payment token
- Asset token
- Utility token

162 Place of custody, please select:

- Switzerland
- Abroad

## F. Data on individual investment advice

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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.

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

Yes  No

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

Yes  No

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

Yes  No

### F.1 Swiss professional and institutional clients

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166 Total of assets under individual investment advice

CHF

167 Of which portfolio-related investment advisory services

CHF

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

CHF

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

CHF

- 170 Number of Swiss professional and institutional clients with an advisory mandate
- 171 Of which number of business relations newly established in the calendar year
- 172 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
- 173 Total assets of structured products used (including AMCs) in the client portfolios
- 174 Income from structured products used (including AMCs)
- 175 Are cryptoassets used for Swiss professional and institutional clients?  
 Yes  No

## F.2 Foreign professional and institutional clients

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- 176 Total of assets under individual investment advice
- 177 Of which portfolio-related investment advisory services
- 178 Total of assets under individual investment advice from mandates by group companies
- 179 Total income from advisory services provided to foreign professional and institutional clients
- 180 Number of foreign professional and institutional clients with an advisory mandate
- 181 Of which number of business relations newly established in the calendar year
- 182 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
- 183 Total assets of structured products used (including AMCs) in the client portfolios
- 184 Income from structured products used (including AMCs)
- 185 Are cryptoassets used for foreign professional and institutional clients?  
 Yes  No

### F.3 Swiss private clients

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- 186 Total of assets under individual investment advice
- 187 Of which portfolio-related investment advisory services
- 188 Total income from investment advisory services provided to Swiss private clients
- 189 Number of Swiss private clients with an advisory mandate
- 190 Of which number of business relations newly established in the calendar year
- 191 Number of advisory mandates with assets in excess of CHF 30 million
- 192 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for Swiss private clients?  
 Yes  No
- 193 Total assets of structured products used (including AMCs) in the client portfolios
- 194 Income from structured products used (including AMCs)
- 195 Are contracts for difference ('CFD') and/or binary options used for Swiss private clients?  
 Yes  No
- 196 Are cryptoassets used for Swiss private clients?  
 Yes  No

### F.4 Foreign private clients

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- 197 Total of assets under individual investment advice
- 198 Of which portfolio-related investment advisory services
- 199 Total income from advisory services provided to foreign private clients
- 200 Number of foreign private clients with an advisory mandate

- 201 Of which number of business relations newly established in the calendar year
- 202 Number of advisory mandates with assets in excess of CHF 30 million
- 203 Are structured products (including actively managed certificates ('AMC')) and/or other investment instruments with derivative character used for foreign private clients?  
 Yes  No
- 204 Total assets of structured products used (including AMCs) in the client portfolios
- 205 Income from structured products used (including AMCs)
- 206 Are contracts for difference ('CFD') and/or binary options used for foreign private clients?  
 Yes  No
- 207 Are cryptoassets used for foreign private clients?  
 Yes  No

## G.1 Data on the offer of financial instruments FinSA

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- 208 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
- 209 Income from the offer of financial instruments FinSA

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

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



214	Number of permanent business relationships (master account) with PEPs as the contracting party, controller, beneficial owner of assets and/or power of attorney	
215	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	
216	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	
217	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	
218	Number of permanent business relationships (master account) with unsupervised financial intermediaries	
219	Number of permanent business relationships (master account) with increased risk (total)	
220	Number of permanent business relationships (master account) with increased risk (newly established in the reporting year)	
221	Number of reports to the MROS in the reporting year	
222	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	CHF
223	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	CHF
224	Total assets under management (incl. double counting) of permanent business relationships (master account) with increased risk	CHF

### G.3 Information on cross-border activities

Any cross-border business activities of the company must be reported in this section.

225 Indication of the countries of domicile of the foreign collective investment schemes to which services are provided

No.	Country of domicile
1	

226 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
1	

227 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
1	

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

229 List of physical presences abroad

No.	Country of domicile
1	
invisible: rowid-P	
f0[i]	

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

231 Are tasks delegated to foreign service providers?  
 Yes  No

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

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

No.	Country of domicile
1	
invisible: Number of clients	
rowid-D	
f0[i]	

Total assets under management

CHF

234 Is the company registered as an investment adviser with the US Securities and Exchange Commission (SEC)?

Yes  No

235 Does the company have a request for registration as an investment adviser pending with the US Securities and Exchange Commission (SEC)?

Yes  No

236 Are there other licences or registrations abroad?

Yes  No

237 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.

238 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)
- None

239 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
- Management of or advice on actively management certificates (AMC)
- None

240 Total of fund assets for which foreign fund business is being performed

CHF

241 Total income generated from foreign fund business

CHF

242 Total income generated from representing foreign collective investment schemes

CHF

243 Total of fund assets for which safekeeping and technical administration for collective investment schemes is performed

CHF

244 Total income generated from safekeeping and technical administration for collective investment schemes

CHF

245 Volume of managed and/or advised structured products

CHF

246 Volume of managed and/or advised actively managed certificates (AMC)

CHF

247 Are execution-only services provided to clients?

Yes  No

248 Total assets from execution-only services to clients

CHF

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

250 Are cryptoassets used for execution-only clients?

Yes  No

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

Yes  No

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

Yes  No

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

254 Total income generated from other activities

CHF

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

Yes  No

256 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
- Other (please indicate)

257 Please indicate

## G.5 Investment of own funds

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

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

CHF

259 Number of transactions executed for investments of own funds

260 Income generated from the investment of own funds

CHF

## H. Operational risks

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

CHF

262 How many significant NAV valuation errors in accordance with the AMAS guidelines occurred with regard to Swiss collective investment schemes in the reporting year?

263 What was the extent of any resulting financial losses?

CHF

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

265 What was the extent of any resulting financial losses?

CHF

266 Was your institute affected by operational implications as a result of cyberattacks in the reporting year?  
 Yes  No

267 What was the extent of any resulting financial losses?

CHF

## I. ESG / sustainability

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268 Does your institute have a sustainability strategy at the company level?  
 Yes  No

269 Does your institute have a sustainability strategy at the level of managed collective investment scheme?  
 Yes  No

270 Is your institute affected by the EU SFDR (Sustainable Finance Disclosure Regulation) (e.g. due to the management of EU funds)?  
 Yes  No

- 271 Does your institute have internal, specialised ESG resources?  
 Yes  No
- 272 Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of ESG/ sustainability
- 273 Does your institute rely on ESG resources of the group?  
 Yes  No
- 274 Are ESG/sustainability criteria a component part of the investment process?  
 Yes  No
- 275 Do you use your own ESG ratings or scorings?  
 Yes  No
- 276 Do you use external ESG ratings or scorings?  
 Yes  No
- 277 From which providers do you use ESG ratings or scorings?
- 278 Are ESG/sustainability risks taken into account in risk management/risk control?  
 Yes  No
- 279 Are ESG/sustainability risks taken into account in risk reporting?  
 Yes  No
- 280 Do employees at the point of sale receive appropriate training on offering ESG products?  
 Yes  No
- 281 Do you manage collective investment schemes for which the investment strategy is aligned with ESG /sustainability criteria?  
 Yes  No
- 282 Are ESG/sustainability criteria applied in any of your individual discretionary mandates?  
 Yes  No
- 283 Number of individual discretionary mandates
- 284 Total assets under management in these individual discretionary mandates
- 285 Are ESG/sustainability criteria applied in any of your individual investment advisory mandates?  
 Yes  No
- 286 Number of individual investment advisory mandates
- 287 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.

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). The advisory assets disclosed in this section are part of the assets already disclosed in section F (data on individual investment advice).

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

Yes  No

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

CHF

290 Of which assets under management with a direct client relationship

CHF

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

CHF

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

CHF

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

294 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
1	
f0[i]	Amount of assets under management
	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)

295 Do investment advisory mandates exist for Swiss occupational pension schemes?

Yes  No

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

CHF

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

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

Yes  No

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

- Business management
- Risk management
- Other

300 Number of occupational pension schemes for which business management services are provided

301 Total assets of occupational pension schemes for which business management services are provided

CHF

302 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

303 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

304 Comments and feedback in connection with the data collection form