

GB-A Data collection SICAV

Version 02/2025

General Data

Institution

FINMA-ID

Authorisation

Does it concern a self-managed SICAV?

Yes No

Have the administration and portfolio management activities been delegated to the same fund management company?

Yes No

Are only qualified investors admitted?

Yes No

Name of contact person

Telephone number

Email

A. General information on the financial situation (entrepreneurial assets)

1 Amount of share capital

2 Annual profit / loss

3 Amount of capital required pursuant to Art. 55 CISO

4 Available capital resources pursuant to Art. 55 CISO

5 Total of employees' contract hours expressed in full-time equivalents (including part-time positions)

6 Number of employees (regardless of contract hours)

B. Information about investor sub-funds

7 Volume of investor sub-funds

8 Number of investor sub-funds (not unit classes)

9 Are investment advisers engaged for individual investor sub-funds?

Yes No

10 Number of investment advisers consulted

11 Which types of investor sub-funds has the company launched? (several answers possible)

- Securities funds
- Other funds for traditional investments
- Other funds for alternative investments
- Real estate funds

12 Which of the following investment strategies are used? (several answers possible)

- Equity funds
- Bond funds
- Strategy funds
- Real estate funds
- Money market funds
- Hedge funds
- Private equity funds
- Commodity funds
- Index funds
- Other types

13 Assets in the investor sub-funds which are invested in financial instruments issued by the company itself or by group companies

14 Total assets in the investor sub-funds which are invested in collective investment schemes managed or administered by the company itself

C.1 Data on the offer of financial instruments FinSA

- 15 Information on the offering activity (several answers possible)
- Offer to non-qualified investors (direct)
 - Offer to qualified investors (direct)
 - Offer through prudentially supervised financial intermediaries (banks, securities dealers, insurance companies, fund management companies, asset managers of collective investment schemes, portfolio managers or representatives of foreign collective investment schemes)
 - Offer through other, not prudentially supervised intermediaries
- 16 Income from the offering activity
- CHF
- 17 Are investor sub-funds offered to foreign private, professional or institutional clients?
- Yes No
- 18 Domicile(s) of clients, please tick as appropriate
- EU/EEA, United Kingdom, North America, Japan, South Korea, Australia, New Zealand
 - Asia (except Japan, South Korea and Central Asia)
 - Latin America, Africa, Eastern Europe, Near and Middle East, Central Asia
 - Other countries

C.2 Information about business activities under the Anti-Money Laundering Act (AMLA)

- 19 The company provides its services exclusively to (several answers possible):
- Tax-exempt occupational benefits institutions
 - Financial intermediaries pursuant to Art. 2 para. 2 AMLA
 - Foreign financial intermediaries who are subject to equivalent supervision to financial intermediaries pursuant to Art. 2 para. 2 AMLA

C.3 Information about cross-border activities

- 20 Are there any activities with cross-border relevance requiring collaboration with intermediaries?
- Yes No
- 21 Are tasks delegated to foreign service providers?
- Yes No

C.4 Investment of own funds (entrepreneurial assets)

22 Are own funds invested?

Yes No

23 Transaction volume from investments of own funds

CHF

24 Number of transactions carried out for investments of own funds

25 Income generated from the investment of own funds

CHF

D. Information about the investment decision-making process

26 Delegation of the portfolio management of the investor sub-funds (several answers possible)

- No delegation
- Partial delegation
- Complete delegation

27 To whom is the portfolio management of the investor sub-funds delegated (several answers possible)?

- Intra-group delegation to another legal entity
- Delegation to independent third parties

28 Structuring of the internal analysis activities (several answers possible)

- n/a
- Internal secondary research
- Internal primary research
- Internal primary research with direct or indirect contact to issuers/major shareholders/investment banks

E. Comments and feedback related to the data collection

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