

Regulatory information
(FinSA client information)

1. Introduction

Based on the legal requirements of Art. 8ff. of the Swiss Financial Services Act (**FinSA**), we provide this information sheet with an overview of Richfox Capital Investment Management AG (**Richfox Capital**) and its services.

2. Company information

- **Address**

Richfox Capital Investment Management AG
Seestrasse 37
8002 Zürich
Switzerland
Email: operations@richfox.com
Website: www.richfox.com

The company was established in 2022.

- **Supervisory authority and audit firm**

Richfox Capital has been licensed as a manager of collective assets in accordance with the Swiss Financial Market Supervision Act (**FinIA**) in 2023 and is therefore subject to prudential supervision by the Swiss Financial Market Supervisory Authority (**FINMA**). As part of this supervision, Richfox Capital is audited by BDO AG (**Auditor**) both in terms of regulatory law and obligations. The address of FINMA and the Auditor are as follows:

FINMA

Eidgenössische Finanzmarktaufsicht FINMA
Laupenstrasse 27
3003 Bern
Phone: +41 31 327 91 00
Email: info@finma.ch
Website: www.finma.ch

Auditor

BDO AG
Schiffbaustrasse 2
8031 Zürich
Phone: +41 44 444 35 55
Email: info@bdo.ch
Website: www.bdo.ch

3. Information on the offered financial services

Richfox Capital provides financial services in foreign collective investment schemes. For further information on the various collective investment schemes, the general risks, specifications, and operating procedures, please refer to the relevant fund prospectus and related documents (the **Fund Documents**) and factsheets on this website.

Richfox Capital does not guarantee any yield nor performance of investment activities. The investment activity can therefore lead to an appreciation or a depreciation in value.

Richfox Capital has all the necessary licences to perform the services described above.

4. Client segmentation

Financial service providers are required to classify their clients into a client segmentation according to the law and adhere to the respective code of conduct. The FinSA provides for retail clients, professional clients and institutional clients segments. For each client, a client classification is determined within the framework of the cooperation with the financial institution. Subject to certain conditions, the client may change the client classification by opting out. Richfox Capital provides services only to qualified, professional and institutional investors.

5. Information on risks and costs

- **General risks associated with financial instruments transactions**

The asset management services involve financial risks. Richfox Capital shall provide all clients with the *Risks associated with Financial Instruments Transactions* brochure prior to the execution of the contract. This brochure can be found at www.swissbanking.ch. The clients may contact Richfox Capital in case of any further questions.

- **Risks associated with the offered services**

For a description of the various risks that may arise from the investment strategy for clients' assets, please refer to the relevant Fund Documents.

- **Information on costs**

A fee is charged for the services rendered, which is usually calculated on the assets under management and/or on a performance basis. For more detailed information, please refer to the relevant Fund Documents.

6. Information about relationships with third parties

In connection with the financial services offered by Richfox Capital, economic ties may exist with third parties. The acceptance of payments from third parties as well as their treatment are regulated in detail and comprehensively in the respective Fund Documents.

7. Information on the market offer considered

Richfox Capital follows an open universe approach and tries to make the best possible choice for the funds when selecting financial instruments into the portfolios. Richfox Capital's own collective investments can – where appropriate – be used across the fund portfolios.