

## Information Brochure

This brochure has been prepared for the clients of Global Gate Asset Management SA (**GGAM**) and contains important information on GGAM and the services provided.

GGAM provides financial services as defined in the Financial Services Act of 15 June 2018 (**FinSA**) solely to institutional clients and to professional clients under certain circumstances. Institutional clients and professional clients have the ability to opt in to classify as a professional or retail client respectively, and benefit from a higher level of protection under FinSA. Opting-in may be done at any time. Should a client not qualify as an institutional client or a professional client under FinSA or should a professional not wish or not be able to release GGAM from the application of certain rules of conduct in accordance with Art. 20 para. 2 FinSA, GGAM may not be able to provide certain services or offer certain financial instruments to such clients. This is applicable from 1 January 2020.

The purpose of this brochure is to provide clients with an overview on GGAM and its services. The information contained herein is provided on a voluntary basis, i.e. even if the information duty pursuant to art. 8 FinSA does not apply to us in view of the categories of our clients, we are fully committed to ensuring a high level of transparency and a protection appropriate for our clients. Your relationship manager will be happy to answer any queries you may have.

We reserve the right to inform you only of significant changes to the content of this brochure. In addition, you will find this brochure and any update thereof on our website, under <https://globalgate-am.com/>.

Yours sincerely,

Global Gate Asset Management SA

## 1. General Information

### 1.1 Information about Global Gate Asset Management SA

Global Gate Asset Management SA (GGAM) is an independent asset manager based in Switzerland that offers its clients a dedicated service and expertise for their wealth management needs. We work across the full range of asset classes to deliver optimal investment solutions to our clients.

At GGAM, we place the utmost importance on the relationship between the client and the individuals within the team. We hold the client's best interest at heart, and we promote a culture built on honesty, transparency, quality of service and performance.

We are an experienced team of investment professionals who will, above all, listen to the clients and channel the investment management solutions that best fit their profile. Our partnership with the industry's best in class investment houses complements our product offering.

Our aim is to build and maintain a long-term and multi-generation relationship with our clients.

Our Top-Down views are derived through market analysis and internal discussions, macro research and various discussions with industry experts. We are happy to share our views with our clients on a regular basis.

#### **Registered office and address of the headquarters:**

Global Gate Asset Management SA  
1, rue de la Rôtisserie  
1204 Geneva, Switzerland

### 1.2 Supervisory status

GGAM is a portfolio manager under Art. 2 para. 1 let. a in connection with Art. 17 para. 1 of the Financial Institutions Act of 15 June 2018 ("**FinIA**"). FinIA entered into force on 1 January 2020 and, among other things, provides for a new licensing requirement for portfolio managers in Switzerland. In accordance with the transitional periods applying under FinIA, GGAM, which is newly subject to an authorisation requirement, is currently implementing the new regulatory requirements under FinIA and will satisfy the authorisation requirements under FinIA by 31.12.2022 at the latest. In particular, GGAM is in the process of applying for an authorisation as portfolio manager under FinIA delivered by the Swiss Financial Market Supervisory Authority FINMA (**FINMA**) and will file the authorisation application with FINMA within the applicable deadline.

Until the FINMA authorisation is obtained, GGAM is affiliated with the self-regulatory organisation SO-FIT (Organisme de Surveillance pour Intermédiaires Financiers & Trustees) in accordance with Art. 24 of the Anti-Money Laundering Act of 10 October 1997 (AMLA) and is supervised by said organisation with regard to compliance with the corresponding duties under AMLA.

Once the FINMA authorisation is obtained, GGAM will be supervised by FINMA in consultation with the supervisory organisation SO-FIT, whereby the supervisory organisation SO-FIT will perform the ongoing supervision.



# GLOBAL GATE

ASSET MANAGEMENT

**Registered office and address of FINMA:**

Swiss Financial Market Supervisory Authority FINMA  
Laupenstrasse 27  
3003 Bern, Switzerland

**Registered office and address of SO-FIT:**

SO-FIT  
2, rue Pedro-Meylan  
1208 Geneva, Switzerland

### 1.3 Mediation proceedings / Ombudsman's Office

Your relationship manager is at your disposal should you have any questions or complaints, or should we not meet your expectations, in order to find the best possible solution together.

If we are unable to find an appropriate solution, you can contact the ombudsman's office Terraxis, which is the ombudsman's office GGAM is affiliated to. The mediation procedure is designed to be as fair, fast and impartial as possible.

**Contact details of the Ombudsman's Office**

Terraxis SA  
1, rue de la Tour-de-l'Ile  
1204 Geneva, Switzerland

## 2. Information on general risks associated with financial instruments

Notwithstanding and without prejudice to the confirmations provided by the clients within the mandates entered into with GGAM and any release provided by the clients with respect to information and risk disclosure, GGAM would like to draw the attention of its Clients to certain specific risks that may be associated with financial instruments. Any transaction involving financial instruments offers opportunities but also involves risks and it is important that all clients are aware of and understand these risks, which are associated with the services we provide.

We would like therefore to refer to the brochure "Risks Involved in Trading Financial Instruments" published by the Swiss Bankers Association (SBA), which contains general information about the main financial services offered in connection with investments as well as on the risks involved in trading financial instruments – purchase, sale and custody. It also specifies the characteristics and risks of the main financial instruments and provides detailed information on certain specific financial instruments. The brochure is available in four languages (English, French, German and Italian) via the following link: <https://www.swissbanking.org/fr/services/bibliotheque/directives>.

You are invited to carefully read the information contained in this brochure. If you have any question, please do not hesitate to contact us.

Besides the SBA brochure on "Risks Involved in Trading Financial Instruments", product information documents - such as key information documents or prospectus - are available for many financial instruments. These documents, insofar as they are provided by the issuer, are provided to our clients if

required within the services we offer, in particular in case of investment advisory. Such documentation is also available upon request from your relationship manager.

### **3. Miscellaneous**

#### **3.1 Conflict of interest**

In all of our business activities, we are required to take appropriate organizational measures to avoid conflicts of interest and disadvantages that may arise in the provision of financial services to our clients. In certain infrequent cases where a conflict of interest or disadvantage to the client cannot be ruled out, the relevant conflict of interest or disadvantage will be disclosed to the client in a comprehensible and standardized manner, including the circumstances giving rise to the conflict, the possible risks arising from it and the measures taken by GGAM to reduce those risks.

#### **3.2 Product Offering**

When providing its services and selecting the financial instruments, GGAM takes into account a broad range of financial products comprising GGAM's in-house products, such as AMCs or products issued or offered by companies GGAM is associated with, as well as other financial instruments.

#### **3.3 No contact and/or dormant assets**

It may happen that contact with clients is broken off and as a result assets deposited with banks fall into disuse. Such assets can sometimes be forgotten by clients and their heirs.

To avoid loss of contact, the following is recommended:

- Changes of address and name: please inform us immediately if you change your location, correspondence address or name.
- Special instructions: please inform us about extended absences and any re-routing of correspondence to a third-party address or custody of correspondence, as well as emergency contact details during this period.
- Information to trusted persons and testamentary dispositions: One possibility to avoid loss of contact and dormant assets is that a trusted person is informed about the relationship with the portfolio manager. However, the portfolio manager may only provide information to such a person of trust if they have been authorized to do so in writing. Furthermore, the assets concerned may for example be mentioned in a will.

Your relationship manager will be happy to answer any questions you may have. You will also find further information in the brochure "Guidelines for the processing of dormant and non-contact assets at Swiss banks" of the Swiss Bankers Association (SBA).

If you are aware of assets you presume to be dormant or unclaimed, we recommend you contact the bank concerned directly. If you do not know the name of the bank, you can carry out a search through the Swiss Banking Ombudsman ([www.bankingombudsman.ch](http://www.bankingombudsman.ch)), it being specified that such a search requires production of supporting documents.

Geneva, 31.12.2021