

# GB-A data collection form for asset managers and fund management companies

Editing instructions

28 February 2024



<b>General notes on completing the GB-A data collection form</b>	
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 2023. All other amounts are to be stated as per the balance sheet date of 31 December 2023.	
The fund assets are to be stated as net fund assets.	
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 now also be found within the form by clicking on the applicable information icons.	
<b>A. Financial data</b>	
1	Gross income
	Gross income comprises income from fees and commission without deduction of commission expenses and revenue reductions (retrocessions, performance fees, third-party service expenditure, administration and corporate action fees, del credere losses, formation of provisions etc.). It does not include financial income (interest income, securities income, foreign exchange income etc.), extraordinary and other income or income from participations.
2	Total of fixed costs (pursuant to Article 44 para. 1 of the Financial Institutions Ordinance FinIO in conjunction with paras. 4 and 5 of the Financial Institutions Ordinance FinIO)
	The fixed costs pursuant to Article 44 paras. 4 and 5 FinIO include the share of staff costs that are not dependent on the operating result, operating business expenses (material expenses), depreciation of fixed assets, and expenses for value adjustments, provisions and losses. The share of staff costs which is solely dependent on the operating result or to which there is no legal entitlement is collected under point 3 (variable salary components).
3	Total of variable salary components
	Variable salary components, i.e. those dependent on the course of business and operating profit (bonuses, voluntary gratuities etc.)
4	Annual profit/loss (before non-operating / extraordinary results and taxes)
5	Annual profit / loss
	Result of the accounting period according to the annual financial statements pursuant to commercial law
6	Dividends paid
	Are dividends being paid for the year 2023?
7	Total amount of dividends paid
	The total amount of dividends paid for the year 2023 (payment in 2024).
8	Shareholders' Equity
	Please enter the amount of equity according to the annual financial statements pursuant to commercial law.
9	Is there a capital loss or overindebtedness according to Article 725 CO during the financial year (regardless of loss or profit)?
10	Provisions
	Recognised provisions according to the annual financial statements pursuant to commercial law

11	Contingent liabilities
	Are there contingent liabilities according to the annual financial statements pursuant to commercial law? Details of legal or actual obligations for which a cash outflow is rated unlikely or the amount cannot be reliably estimated.
12	Total amount of intangible assets (excl. software) according to the annual financial statements
	Total amount of intangible assets according to the annual financial statements pursuant to commercial law (including start-up and organisational costs and goodwill) less software.
13	Total amount of participations according to the annual financial statements
	Book value of participations according to the annual financial statements pursuant to commercial law.
14	Required capital (according to Article 59 of the Financial Institutions Ordinance FinIO)
15	Qualifying capital (pursuant to Article 60 FinIO)
16	Required capital (according to Article 44 of the Financial Institutions Ordinance FinIO)
17	Qualifying capital (pursuant to Article 45 FinIO)
18	Professional liability insurance taken out pursuant to Article 44 para. 2 let. b of the Financial Institutions Ordinance FinIO
	It must be stated whether the asset manager has taken out professional liability insurance and if so how much the amount insured is.
19	Amount of professional liability insurance cover
20	Total of employees' contract hours expressed in full-time equivalents (including part-time positions)
	The employees' contract hours are to be stated as a percentage (100% per full-time equivalent) as at 31 December 2023 (no averages). The FTE percentages of all employed staff must be entered cumulatively, with apprentices only counted at 50%.  Example: a fund management company employing three staff, two of whom work 100% and the other 60% (part-time), should enter 260% here.
21	Number of employees (regardless of contract hours)
	The number of employees must be entered regardless of their contract hours.  Example: a fund management company employing three staff, two of whom work 100% and the other 60% (part-time), should enter 3 here.
22	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of risk management (incl. outsourcing)
	Cumulative FTE percentages of staff working at second level control in the area of risk management. If risk management or parts thereof have been outsourced to a third party, these FTE percentages must also be disclosed.
23	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of compliance (incl. outsourcing)
	Cumulative FTE percentages of staff working in the area of compliance. If compliance activities or parts thereof have been outsourced to a third party, these FTE percentages must also be disclosed.
<b>B. Data on the Swiss collective investment schemes administered</b>	

24	Total of fund assets from Swiss collective investment schemes administered by the fund management company (net assets)
	The total net fund assets from all Swiss collective investment schemes administered by the fund management company must be disclosed (own and third-party).
25	Number of Swiss collective investment schemes administered
	The total number of Swiss collective investment schemes administered must be disclosed (own and third-party).
26	Total income from the administration of Swiss collective investment schemes
	The total income generated from the administration of Swiss collective investment schemes must be disclosed.
27	Total of fund assets administered for external fund management companies, SICAVs or LPs (net assets)
	The total net fund assets out of all fund assets administered for external fund management companies, SICAVs or LPs must be disclosed.
28	Number of funds administered for external fund management companies, SICAVs or LPs
29	Which services in the field of the administration of Swiss collective investment schemes are provided to third parties?
	Here services of fund management companies for third parties in the area of administration for Swiss collective investment schemes are to be listed. For example, these include the calculation of net asset value, determination of issue and redemption prices and accounting. Other activities must be specified in more detail.
30	Which other activities in the field of the administration of Swiss collective investment schemes does the company provide to third parties?
	Other services must be listed and briefly explained.
31	Income from services in the field of the administration of Swiss collective investment schemes provided to third parties
<b>C. Data on the managed collective investment schemes (portfolio management)</b>	
	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.
32	Does the company manage Swiss collective investment schemes?
33	Does the company manage foreign collective investment schemes?
34	Does the company manage collective investment schemes with small and/or mid cap strategies?
	Are collective investment schemes managed that invest largely in companies with low or medium market capitalisation (small & mid caps)?
35	Total assets managed through small and/or mid cap strategies
36	Are cryptoassets used in the managed collective investment schemes?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of the portfolio management of collective investment schemes. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
37	Total assets of cryptoassets used in the collective investment schemes portfolios

38	Type of token, please select
39	Place of custody, please select
<b>C.1 Data on the managed Swiss collective investment schemes (portfolio management)</b>	
40	Total assets of Swiss collective investment schemes managed by the company (net fund assets)
	The entire assets managed via Swiss collective investment schemes must be disclosed. These comprise the net fund assets (double counting permitted).
41	Total assets of Swiss collective investment schemes including leverage (equivalent underlying assets according to Article 24 para. 2 let. a no. 1 of the Financial Institutions Act FinIA)
	The entire assets managed via Swiss collective investment schemes must be disclosed. These comprise the net fund assets (double counting permitted). The net fund assets under management include assets acquired through the deployment of leverage (especially derivatives). The equivalent underlying assets (pursuant to Article 24 para. 2 let. a no. 1 FinIA) serve as the calculation basis.
42	Number of managed Swiss collective investment schemes
43	Are investment advisers consulted for specific Swiss collective investment schemes?
	Please indicate whether investment advisers are consulted for managed collective investment schemes.
44	Number of investment advisers consulted
45	Assets under management of Swiss collective investment schemes invested in financial instruments issued by group companies or the company itself
	The fund assets invested in financial instruments issued by the company or its group companies must be added together and disclosed.
46	Assets under management of Swiss collective investment schemes invested in collective investment schemes managed or administered by the company itself
	The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.
47	Total management fees from asset management of Swiss collective investment schemes
	All income generated through the management of Swiss collective investment schemes, excluding any performance fees.
48	Total performance fees from asset management of Swiss collective investment schemes
	All income resulting from performance fees for the management of Swiss collective investment schemes.
49	Is the portfolio management (sub-)delegated to foreign institutions?
	If so, please specify the country of domicile and the total net fund assets in said country.
50	Countries of domicile of foreign institutions to which portfolio management is (sub-)delegated
<b>C.2 Data on the managed foreign collective investment schemes (portfolio management)</b>	
51	Total assets of foreign collective investment schemes managed by the company (net fund assets)
	The entire assets managed via foreign collective investment schemes must be disclosed. These comprise the net fund assets.

52	Total assets of foreign collective investment schemes including leverage
	The entire assets managed via foreign collective investment schemes must be disclosed. The net fund assets under management include assets acquired through the deployment of leverage (especially derivatives).
53	Number of managed foreign collective investment schemes
54	Are investment advisers consulted for specific foreign collective investment schemes?
	Please indicate whether investment advisers are consulted for managed collective investment schemes. If so, please specify their number.
55	Number of investment advisers consulted
56	Assets under management of foreign collective investment schemes invested in financial instruments issued by group companies or the company itself
	The fund assets invested in financial instruments issued by the company or its group companies must be added together and disclosed.
57	Assets under management of foreign collective investment schemes invested in collective investment schemes managed or administered by the company itself
	The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.
58	Total management fees from asset management of foreign collective investment schemes
	All income generated through the management of foreign collective investment schemes, excluding any performance fees.
59	Total performance fees from asset management of foreign collective investment schemes
	All income resulting from performance fees for the management of foreign collective investment schemes.
<b>D. Data on advisory mandates for collective investment schemes (investment advice)</b>	
	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.
60	Does the business activity include investment advice for Swiss collective investment schemes?
61	Does the business activity include investment advice for foreign collective investment schemes?
<b>D.1 Data on advisory mandates for Swiss collective investment schemes (investment advice)</b>	
62	Total assets of advised Swiss collective investment schemes (investment advice) (net assets)
	If the company has advisory mandates for collective investment schemes, the entire net fund assets of Swiss collective investment schemes must be added up and disclosed. If advice is only provided for part of the assets of the collective investment scheme, only this part must be added up.
63	Number of advised Swiss collective investment schemes
64	Total assets of advised Swiss collective investment schemes of group companies
	The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.
65	Income generated through advisory mandates

	The income that is generated through the provision of investment advice to Swiss collective investment schemes must be disclosed.
<b>D.2 Data on advisory mandates for foreign collective investment schemes (investment advice)</b>	
66	Total assets of advised foreign collective investment schemes (investment advice) (net assets)
	If the company has advisory mandates for collective investment schemes, the entire net fund assets of foreign collective investment schemes must be added together and disclosed. If advice is only provided for part of the assets of the collective investment scheme, only this part must be added up.
67	Number of advised foreign collective investment schemes
68	Total assets of advised foreign collective investment schemes of group companies
	The fund assets invested in collective investment schemes affiliated with the company (managed or administered) must be added together and disclosed.
69	Income generated through advisory mandates
	The income that is generated through the provision of investment advice to foreign collective investment schemes must be disclosed.
<b>E. Data on the individual asset management mandates</b>	
	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.
70	Does the business activity include individual asset management for professional and institutional clients?
71	Does the business activity include individual asset management for private clients?
<b>E.1 Swiss professional and institutional clients (excluding collective investment schemes)</b>	
72	Total assets under management
	The total amount of assets under management of Swiss professional and institutional clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.
73	Total of assets under management in mandates from group companies
	Total of assets under management in individually managed mandates with an asset management agreement signed with a group company. Assets for which a mere advisory activity is exercised should not be included.
74	Total of assets invested in collective investment schemes managed or advised by the company
	Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.
75	Total of assets invested in financial instruments issued by group companies or the company itself
	Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.
76	Income from individual asset management (management fees)
	All income generated through individual asset management for Swiss professional and institutional clients, excluding any performance fees.
77	Income from performance fees



	All income resulting from performance fees from individual asset management for Swiss professional and institutional clients.
78	Number of Swiss professional and institutional clients whose assets are under management
79	Of which number of business relations newly established in the calendar year
80	Type(s) of clients, please tick as appropriate
	This comprises a specification of Swiss professional and institutional clients; multiple selections are permitted. Please tick as appropriate.
81	Do the Swiss professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?
	According to Article 5 FinSA, wealthy private clients and private investment structures established for them can declare their intention to be treated as professional clients (opting-out).
82	Number of wealthy private clients
	Number of Swiss professional clients who have declared an opting-out pursuant to Article 5 FinSA
83	Are cryptoassets used for Swiss professional and institutional clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for Swiss professional and institutional clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
84	Total assets of cryptoassets used in the client portfolios
	Disclosure of assets under management from individual asset management for Swiss professional and institutional clients that are invested in the investment instruments mentioned.
85	Type of token, please select
86	Place of custody, please select
<b>E.2 Foreign professional and institutional clients (excluding collective investment schemes)</b>	
87	Total assets under management
	The total amount of assets under management of foreign professional and institutional clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.
88	Total of assets under management in mandates from group companies
	Total of assets under management in individually managed mandates with an asset management agreement signed with a group company. The assets under management must be stated without any advisory mandates.
89	Total of assets invested in collective investment schemes managed or advised by the company
	Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.
90	Total of assets invested in financial instruments issued by group companies or the company itself
	Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.



91	Income from individual asset management (management fees)
	All income generated through individual asset management for foreign professional and institutional clients, excluding any performance fees.
92	Income from performance fees
	All income resulting from performance fees from individual asset management for foreign professional and institutional clients.
93	Number of foreign 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
	This comprises a specification of foreign professional and institutional clients; multiple selections are permitted. Please tick as appropriate.
96	Domicile(s) of clients/beneficial owners, please tick as appropriate
	In the case of foreign professional and institutional clients with asset management mandates, their domicile(s) must additionally be disclosed.
97	Do the foreign professional clients also include wealthy private clients who have declared an opting-out pursuant to Article 5 FinSA?
	According to Article 5 FinSA, wealthy private clients and private investment structures established for them can declare their intention to be treated as professional clients (opting-out).
98	Number of wealthy private clients
	Number of foreign professional clients who have declared an opting-out pursuant to Article 5 FinSA
99	Are cryptoassets used for foreign professional and institutional clients?
	Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign professional and institutional clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
100	Total assets of cryptoassets used in the client portfolios
	Disclosure of assets under management from individual asset management for foreign professional and institutional clients that are invested in the investment instruments mentioned.
101	Type of token, please select
102	Place of custody, please select
<b>E.3 Swiss private clients</b>	
103	Total assets under management
	The total amount of assets under management of Swiss private clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.
104	Total of assets invested in collective investment schemes managed or advised by the company
	Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.
105	Total of assets invested in financial instruments issued by group companies or the company itself

	Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.
106	Income from individual asset management (management fees)
	All income generated through individual asset management for Swiss private clients, excluding any performance fees.
107	Income from performance fees
	All income resulting from performance fees from individual asset management for Swiss private clients.
108	Number of Swiss private clients whose assets are under management
109	Of which number of business relations newly established in the calendar year
110	Client group(s), please tick as appropriate
	Splitting clients in groups according to the size of their mandate. Multiple selections are possible. Please tick as appropriate.
111	Are structured products (including Actively Managed Certificates ("AMC")) and/or other derivative instruments used for Swiss private clients?
	Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for Swiss private clients.
112	Total assets of structured products used (including AMCs) in the client portfolios
	Disclosure of assets under management from individual asset management for Swiss private clients that are invested in structured products.
113	Income from structured products used (including AMCs)
	All income resulting from structured products used from individual asset management for Swiss private clients.
114	Are Contracts for Differences ("CFD") and/or binary options used for Swiss private clients?
	Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for Swiss private clients.
115	Total assets of CFDs and/or binary options used in the client portfolios
	Disclosure of assets under management from individual asset management for Swiss private clients that are invested in the investment instruments mentioned.
116	Are cryptoassets used for Swiss private clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for Swiss private clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
117	Total assets of cryptoassets used in the client portfolios
	Disclosure of assets under management from individual asset management for Swiss private clients that are invested in the investment instruments mentioned.
118	Type of token, please select
119	Place of custody, please select
<b>E.4 Foreign private clients</b>	
120	Total assets under management

	The total amount of assets under management of foreign private clients must be disclosed. Assets for which a mere advisory activity is exercised should not be included.
121	Total of assets invested in collective investment schemes managed or advised by the company
	Assets invested in Swiss or foreign collective investment schemes managed or advised by the company.
122	Total of assets invested in financial instruments issued by group companies or the company itself
	Assets invested in financial instruments issued by the company or group companies. Please disclose all assets from clients with an asset management agreement placed with the company or group companies.
123	Income from individual asset management (management fees)
	All income generated through individual asset management for foreign private clients, excluding any performance fees.
124	Income from performance fees
	All income resulting from performance fees from individual asset management for foreign private clients.
125	Number of foreign private clients whose assets are under management
126	Of which number of business relations newly established in the calendar year
127	Client group(s), please tick as appropriate
	Splitting clients in groups according to the size of their mandate. Multiple selections are possible. Please tick as appropriate.
128	Domicile(s) of clients/beneficial owners, please tick as appropriate
	In the case of foreign private clients with asset management mandates, their domicile(s) must additionally be disclosed.
129	Are structured products (including Actively Managed Certificates ("AMC")) and/or other derivative instruments used for foreign private clients?
	Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign private clients.
130	Total assets of structured products used (including AMCs) in the client portfolios
	Disclosure of assets under management from individual asset management for foreign private clients that are invested in structured products.
131	Income from structured products used (including AMCs)
	All income resulting from the structured products used from individual asset management for foreign private clients.
132	Are Contracts for Difference ("CFDs") and/or binary options used for foreign private clients?
	Indication of whether the investment instruments mentioned are used within the scope of asset management mandates for foreign private clients.
133	Total assets of CFDs and/or binary options used in the client portfolios
	Disclosure of assets under management from individual asset management for foreign private clients that are invested in the investment instruments mentioned.
134	Are cryptoassets used for foreign private clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of asset management mandates for foreign private clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using

	cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
135	Total assets of cryptoassets used in the client portfolios
	Disclosure of assets under management from individual asset management for foreign private clients that are invested in the investment instruments mentioned.
136	Type of token, please select
137	Place of custody, please select
<b>F. Data on individual investment advice</b>	
	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.
138	Does the business activity include investment advice for individual mandates of professional and institutional clients?
139	Does the business activity include investment advice for individual mandates of private clients?
<b>F.1 Swiss professional and institutional clients</b>	
140	Total of assets under advisory
	Total assets affiliated with the company via an advisory mandate.
141	of which portfolio-based investment advisory services
	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.
142	Total of assets under advisory from mandates by group companies
	The assets of other group companies affiliated via advisory mandates must be disclosed.
143	Total income from advisory services provided to Swiss professional and institutional clients
	The income generated from the advisory activity must be disclosed.
144	Number of Swiss professional and institutional clients with an advisory mandate
145	Of which number of business relations newly established in the calendar year
146	Are cryptoassets used for Swiss professional and institutional clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advice for Swiss professional and institutional clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
<b>F.2 Foreign professional and institutional clients</b>	
147	Total of assets under advisory
	Total assets affiliated with the company via an advisory mandate.
148	of which portfolio-based investment advisory services
	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.

149	Total of assets under advisory from mandates by group companies
	The assets of other group companies affiliated via advisory mandates must be disclosed.
150	Total income from investment advisory services provided to foreign professional and institutional clients
	The income generated from the investment advisory activity must be disclosed.
151	Number of foreign professional and institutional clients with an advisory mandate
152	Of which number of business relations newly established in the calendar year
153	Are cryptoassets used for foreign professional and institutional clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advice for foreign professional and institutional clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
<b>F.3 Swiss private clients</b>	
154	Total of assets under advisory
	Total assets affiliated with the company via an advisory mandate
155	of which portfolio-based investment advisory services
	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.
156	Total income from investment advisory services provided to Swiss private clients
	The income generated from the advisory activity for Swiss private individuals must be disclosed.
157	Number of Swiss private clients with an advisory mandate
158	Of which number of business relations newly established in the calendar year
159	Number of advisory mandates with assets in excess of CHF 30 million
	Disclosure of the number of advisory mandates with assets in excess of CHF 30 million
160	Are structured products (including Actively Managed Certificates ("AMC")) and/or other derivative instruments used for Swiss private clients?
	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for Swiss private clients.
161	Total assets of structured products used (including AMCs) in the client portfolios
	Disclosure of assets under advisory mandates from individual investment advice for Swiss private clients that are invested in structured products.
162	Income from structured products used (including AMCs)
	All income resulting from structured products used from individual investment advice for Swiss private clients.
163	Are Contracts for Difference ("CFDs") used for Swiss private clients?
	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for Swiss private clients.
164	Are cryptoassets used for Swiss private clients?

	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advisory mandates for Swiss private clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
<b>F.4 Foreign private clients</b>	
165	Total of assets under advisory
	Total assets affiliated with the company via an advisory mandate
166	of which portfolio-based investment advisory services
	FinSA distinguishes between investment advisory services for individual transactions (Article 11 FinSA) and investment advisory services taking account of the client portfolio (Article 12 FinSA). The total of assets falling under Article 12 FinSA taking account of the client portfolio must be disclosed here.
167	Total income from advisory services provided to foreign private clients
	The income generated from the advisory activity for foreign private clients must be disclosed.
168	Number of foreign private clients with an advisory mandate
169	Of which number of business relations newly established in the calendar year
170	Number of advisory mandates with assets in excess of CHF 30 million
	Disclosure of the number of advisory mandates with assets in excess of CHF 30 million
171	Are structured products (including Actively Managed Certificates ("AMC")) and/or other derivative instruments used for foreign private clients?
	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for foreign private clients.
172	Total assets of structured products used (including AMCs) in the client portfolios
	Disclosure of assets under advisory mandates from individual investment advice for foreign private clients that are invested in structured products.
173	Income from structured products used (including AMCs)
	All income resulting from structured products used from individual investment advice for foreign private clients.
174	Are Contracts for Differences ("CFD") and/or binary options used for foreign private clients?
	Indication of whether the investment instruments mentioned are used within the scope of investment advisory mandates for foreign private clients.
175	Are cryptoassets used for foreign private clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of investment advisory mandates for foreign private clients. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
<b>G.1 Data on the offer of financial instruments FinSA</b>	
176	Information on the offer of financial instruments FinSA
	It must be stated whether an offer of a financial instrument exists and whether and how it is specifically offered. This must include whether the offer is addressed



	to private clients, professional clients or institutional clients. If the offer is made via an intermediary, it must be stated whether the latter is subject to prudential supervision by FINMA. This is normally the case if the intermediary is licensed as a bank (including branch offices), securities dealer, insurance company, manager of collective assets, asset manager or representative. Multiple answers are possible.
177	Income from the offer of financial instruments FinSA
	Only state the income from the offer of financial instruments and no asset management fees or performance fees of the products.
<b>G.2 Data on business activity according to the Anti-Money Laundering Act AMLA</b>	
178	Is the financial intermediary a fund management company that manages share accounts?
179	Does one of the exceptions listed in Article 2 para. 4 AMLA apply?
	Article 2 para. 4 AMLA specifies which institutions and services are excepted from the scope of application of the AMLA.
180	Is the institution subject to the obligations in connection with collective investment schemes pursuant to Article 40 para. 1 AMLO-FINMA?
	Article 40 AMLO-FINMA defines the money laundering obligations of fund management companies and CISA investment companies of non-listed Swiss collective investment schemes, provided that the condition set out in Article 40 para. 1 is met. Accordingly, it must be stated here whether the obligations pursuant to Article 40 AMLO-FINMA apply to the institution and thus whether the supervisory obligations must be fulfilled for Swiss collective investment schemes.
181	Is the institution subject to the obligations in connection with collective investment schemes pursuant to Article 41 para. 1 AMLO-FINMA?
	Article 41 AMLO-FINMA defines the money laundering obligations of the asset manager of foreign collective investment schemes, provided that the conditions set out in this article are met. Accordingly, it must be stated here whether the obligations pursuant to Article 41 AMLO-FINMA apply to the asset manager and thus whether the obligations stipulated for foreign collective investment schemes are to be fulfilled.
182	Number of permanent business relationships (master account) with PEPs as the contracting party, controller, beneficial owner of assets and/or power of attorney
183	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
184	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
185	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
186	Number of permanent business relationships (master account) with unsupervised financial intermediaries
187	Number of permanent business relationships (master account) with increased risk (total)
188	Number of permanent business relationships (master account) with increased risk (newly established in the reporting year)



189	Number of reports to the MROS in the reporting year
190	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
191	Total assets under management (incl. double counting) of permanent business relationships (master account) with contracting parties and/or beneficial owner domiciled/residing in Southern/Eastern Europe (excluding EU countries), Africa, Central Asia, Western/Southern Asia (excluding India) and/or Latin America
192	Total assets under management (incl. double counting) of permanent business relationships (master account) with increased risk
<b>G.3 Information on cross-border activities</b>	
	Any cross-border business activities of the company must be reported in this section.
193	Indication of the countries of domicile of the foreign collective investment schemes to which services are provided
194	Indication of the countries of domicile of the foreign private clients to which services (asset management and/or investment advice) are provided
	State the country of domicile of the ultimate beneficial owner.
195	Indication of the countries of domicile of the foreign professional or institutional clients to which services (asset management and/or investment advice) are provided.
	State the country of domicile of the ultimate beneficial owner.
196	Does the company have a physical presence abroad?
	Physical presence means the permanent physical presence of employees or other representatives of the institution for the provision of services abroad. This also includes a presence via branch offices and/or group companies.
197	List of physical presences abroad
198	Are there any activities with cross-border relevance requiring collaboration with intermediaries?
199	Are tasks delegated to foreign service providers?
200	Are custodian banks domiciled abroad used in individual asset management?
	The question is whether assets managed within the scope of asset management mandates are held at custodian banks domiciled abroad. The involvement of sub-custodians by the custodian bank is not relevant here, but simply the domicile of the custodian bank responsible for safekeeping.
201	Please state the country of domicile, the number of clients and the total of assets under management held at custodian banks domiciled abroad
202	Is the company registered as an investment adviser with the US Securities and Exchange Commission (SEC)?
203	Does the company have a request for registration as an investment adviser pending with the US Securities and Exchange Commission (SEC)?
204	Are there other licences or registrations abroad?
205	Please specify.
<b>G.4 Other activities</b>	
	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 pursuant

	to Article 26 para. 2 FinIA 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.
206	Are other activities conducted?
207	Are activities related to the conduct of fund business pursuant to Article 54 FinIO carried out?
208	Total of fund assets for which foreign fund business is being performed according to Article 26 para. 2 FinIA (net assets)
209	Total income generated from foreign fund business according to Article 26 para. 2 FinIA
210	Total of fund assets for which safekeeping and technical administration for collective investment schemes is performed (net assets)
211	Total income generated from safekeeping and technical administration for collective investment schemes
212	Total income generated from representing foreign collective investment schemes
213	Are execution-only services provided to clients?
	If such services (merely receiving and executing client orders outside investment advisory or asset management mandates) are offered and performed, this must be stated here.
214	Total assets from execution-only services to clients
215	Number of clients for whom execution-only services are provided
216	Are cryptoassets used for execution-only clients?
	Indication of whether the investment instruments mentioned are used (directly and/or indirectly) within the scope of execution-only services. Cryptoassets are digital assets that are usually recorded on a blockchain. They differ from other assets because they can only be accessed using cryptography. Derivatives, structured products and options etc. based on cryptoassets must also be disclosed (underlying = cryptoasset).
217	Are further services in the areas of family office, structuring of investments and/or fiduciary provided?
	If the fund management company or asset manager provides further services in the areas of family office, structuring of investments and/or fiduciary services, this must be disclosed here.
218	Are there other activities from which the company generates income?
219	Total income generated from other activities
220	In the course of your business activities, do you use methods of artificial intelligence or machine learning?
221	If so, in which areas?
222	Please specify
<b>G.5 Investment of own funds</b>	
	In this section, details of transactions related to the investments of own funds must be listed
223	Volume of transactions performed through investments of own funds
224	Number of transactions executed for investments of own funds
225	Income generated from the investment of own funds
<b>H. Operational risks</b>	

226	Please indicate the financial loss resulting from operational errors?
	Details of financial losses caused by the licence holder in the reporting year. These also include losses assumed by third parties.
227	How many significant NAV valuation errors in accordance with the AMAS-guidelines occurred with regard to Swiss collective investment schemes in the reporting year?
	All NAV valuation errors must be listed that according to the AMAS guidelines for the valuation of assets of collective investment schemes and the handling of valuation errors for open-ended collective investment schemes are to be classified as significant.
228	What was the extent of any resulting financial losses?
	Details of financial losses resulting from significant NAV valuation errors. Losses assumed by involved third parties must also be reported.
229	How many active violations of the investment rules occurred with regard to the Swiss collective investment schemes in the reporting year?
	Details of the number of active violations of the investment rules for Swiss collective investment schemes.
230	What was the extent of any resulting financial losses?
	Details of financial losses resulting from active violations of the investment rules. Losses assumed by involved third parties must also be reported.
231	Was your institution affected by operational implications as a result of cyberattacks in the reporting year?
	A cyberattack is understood to be a targeted attack from outside on larger computer networks that are important for a specific infrastructure.
232	What was the extent of any resulting financial losses?
<b>I. ESG / sustainability</b>	
233	Does your institution have a sustainability strategy at the company level?
234	Does your institution have a sustainability strategy at the level of the managed collective investment schemes?
235	Is your institution affected by the EU SFDR (Sustainable Finance Disclosure Regulation) (e.g. due to the management of EU funds)?
236	Does your institution have internal, specialised ESG resources?
237	Total of employees' contract hours expressed in full-time equivalents (including part-time positions) in the area of ESG/sustainability
	The employees' contract hours are to be stated as a percentage (100% per full-time equivalent). The full-time equivalents of the employees working in the area of ESG / sustainability must be recorded cumulatively.  Example: an institution employing three staff, one of whom work 50% in the area of ESG / sustainability should enter 50% here.
238	Does your institution rely on ESG resources of the group?
239	Are ESG/sustainability criteria a component part of the investment process?
240	Do you use your own ESG ratings or scorings?
241	Do you use external ESG ratings or scorings?
242	From which providers do you use ESG ratings or scorings?
243	Are ESG/sustainability risks taken into account in risk management/risk control?
244	Are ESG/sustainability risks taken into account in risk reporting?

245	Do employees at the point of sale receive appropriate training on offering ESG products?
246	Do you manage collective investment schemes for which the investment strategy is aligned with ESG/sustainability criteria?
247	Are ESG/sustainability criteria applied in any of your discretionary mandates?
	Discretionary mandates here refer to the individual asset management of mandates (private, professional and institutional clients).
248	Number of discretionary mandates
249	Total assets under management in these discretionary mandates
<b>J. Asset management of pension fund assets</b>	
	<p>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:</p> <ol style="list-style-type: none"> <li>1. Registered and non-registered occupational pension schemes,</li> <li>2. Employer-sponsored welfare funds,</li> <li>3. Investment foundations,</li> <li>4. Pillar 3a foundations,</li> <li>5. Vested benefits foundations.</li> </ol> <p>An occupational pension scheme is considered to be a "registered" <u>occupational pension scheme</u> 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.</p> <p>The assets under management disclosed in this section form part of the assets already recorded in section E (Data on the individual asset management mandates).</p>
250	Does your institution manage Swiss occupational pension scheme assets for the purposes of Article 34 para. 2a FinIO?
251	Total assets under management for Swiss occupational pension schemes (direct and indirect)
252	Of which assets under management with a direct client relationship
	Direct client relationship means that a contract exists between the asset manager or fund management company and the occupational pension scheme.
253	Of which assets under management with an "indirect" client relationship
	"Indirect" client relationship means that no contract exists between the asset manager or fund management company and the occupational pension scheme. The contract exists, for example, between the bank and the occupational pension scheme and the bank delegates the asset management to the asset manager or fund management company.
254	Total assets under management for Swiss occupational pension schemes where portfolio management is (sub-)delegated to a third party
255	Number of Swiss occupational pension schemes with which an asset management contract exists

256	<p>For the mandates of Swiss occupational pension schemes for which the company provides asset management, please disclose the following further information:</p> <ul style="list-style-type: none"> <li>- Type of occupational pension scheme;</li> <li>- Amount of assets under management; and</li> <li>- Ratio of assets under management for the occupational pension scheme relativ to their total assets.</li> </ul> <p>If the exact ratio of the assets under management is not known, an estimate may be entered. Only mandates are to be disclosed for which an asset management contract directly with the Swiss occupational pension scheme exists</p>
257	Do investment advisory mandates exist for Swiss occupational pension schemes?
258	Total assets of Swiss occupational pension schemes for which an investment advisory mandate exists
259	Number of Swiss occupational pension schemes with which an investment advisory mandate exists
260	In addition to asset management or investment advice, does your institution provide any other services for Swiss occupational pension schemes?
261	In addition to asset management or investment advice, which other services does your institution provide for Swiss occupational pension schemes?
262	<p>If management services are provided for occupational pension schemes, the following additional information is collected:</p> <p>Number of occupational pension schemes for which administration services were provided.</p>
263	Total assets of the occupational pension schemes for which administration services provided.
264	Are there employees who work at both your institution and a Swiss occupational pension scheme and/or do employees of your institution perform other mandates for a Swiss occupational pension scheme?
<b>K. Comments and feedback in connection with the data collection form</b>	
265	Comments and feedback in connection with the data collection form
	<p>Comments or remarks connected with the data collection form or necessary for interpreting the data. For example, if the observation period does not amount to 12 months (e.g. due to an extended financial year or because the licence was granted less than 12 months ago) this should be mentioned here.</p>