

Dear Sir or Madam

With this information brochure, we inform you about Limmat Capital Alternative Investments AG, the financial services we offer and the associated risks, as well as the initiation of mediation proceedings before the ombudsman. The Information in the present brochure may from time to time change. The current version of this brochure is available online.

We will inform you separately about the costs and fees of the financial services offered.

For information on the general risks associated with financial instruments, please refer to the brochure "Risks in Trading Financial Instruments" published by the Swiss Bankers Association (SBA). The brochure is available on the SBA website under Downloads: <https://www.swiss-banking.ch/de/downloads>.

This brochure fulfils the disclosure obligations under the Financial Services Act and is intended to provide you with an overview of the asset manager's financial services. Should you require further information, we are happy to meet with you in person.

Limmat Capital Alternative Investments AG  
Riesbachstrasse 57  
8008 Zürich  
Switzerland  
<https://limmat.capital/>

# Information on the Financial Services of Lim- mat Capital Alternative Investments AG

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## 1. Information about the Asset Manager

### 1.1 Name and Address

Name	Limmat Capital Alternative Investments AG
Address	Riesbachstrasse 57
Postcode / City	8008 Zürich, Switzerland
Phone	+41 44 204 19 19
E-Mail	<a href="mailto:contact@limmatcapital.ch">contact@limmatcapital.ch</a>
Website	<a href="https://limmat.capital/">https://limmat.capital/</a>
VAT No.	CHE-112.265.758

### 1.2 Field of Activity

Limmat Capital Alternative Investments AG is headquartered in Zurich. It is active in asset management and provides services in particular in portfolio management as well as in the management of collective investment schemes for institutional and qualified investors.

### 1.3 Regulatory Authority

Limmat Capital Alternative Investments AG is licensed as a manager of collective assets and is subject to the direct supervision of the Swiss Financial Market Supervisory Authority (FINMA).

Swiss Financial Market Supervisory Authority FINMA  
Laupenstrasse 27  
CH-3003 Bern  
Phone: +41 31 327 91 00  
E-Mail: [info@finma.ch](mailto:info@finma.ch)  
[www.finma.ch](http://www.finma.ch)

### 1.4 Ombudsman and Complaints Procedure (CSSF – Luxembourg)

Limmat Capital Alternative Investments AG aims to be a reliable and professional partner. Should you ever be dissatisfied with our services, we kindly ask you to inform us. We will endeavour to find a prompt and appropriate solution.

If no mutually agreed solution can be found, you as a client have the option of applying for mediation proceedings with the ombudsman:

Swiss Financial Services Ombudsman (FINOS)  
Talstrasse 20  
CH-8001 Zürich  
Phone: +41 44 552 08 00  
E-Mail: [info@finos.ch](mailto:info@finos.ch)  
[www.finos.ch](http://www.finos.ch)

If your complaint concerns the LIMMAT CAPITAL SICAV and no mutually agreed solution could be reached, you have the option of initiating out-of-court mediation proceedings with the competent supervisory authority in Luxembourg:

Commission de Surveillance du Secteur Financier (CSSF)  
283, route d'Arlon  
L-1150 Luxembourg  
Phone: +352 26 25 1 1  
E-Mail: [direction@cssf.lu](mailto:direction@cssf.lu)  
[www.cssf.lu](http://www.cssf.lu)

Such proceedings may be initiated within one year after the complaint has been handled at management level. Further information, including the complaints form and CSSF-Regulation No. 16-07, can be found on the CSSF website.

## 2. Asset Management

### 2.1 Nature, Characteristics and Functioning of the Financial Service

In the context of asset management, Limmat Capital Alternative Investments AG manages assets in the name, on account and at the risk of the client, which are held in custody with a depositary bank.

Limmat Capital Alternative Investments AG makes investment decisions independently within the framework of the agreed investment strategy and without prior consultation with the client. In doing so, it ensures that the investments are appropriate to the client's financial circumstances, investment objectives and risk appetite.

### 2.2 Rights and Obligations

Limmat Capital Alternative Investments AG selects investments with due diligence and ensures adequate risk diversification within the framework of the agreed strategy.

It continuously monitors the portfolios and ensures that they are in line with the agreed investment objectives. It also regularly informs the client about the development of the managed assets.

### 2.3 Risks

In asset management, the following risks in particular exist, which are generally borne by the client:

- Investment strategy risk: The chosen strategy may lead to different return and risk profiles.
- Market and intrinsic value risk: Financial instruments may lose value.
- Information risk: Incomplete or inaccurate information provided by the client may lead to unsuitable investment decisions.
- Risks with collective investment schemes: In particular for qualified investors, reduced regulatory requirements may entail additional risks (e.g. liquidity, transparency).
- Concentration risks: Despite diversification, concentrations in individual positions or markets may occur, about which the client will be informed in advance by Limmat Capital Alternative Investments AG.

In addition, operational risks exist on the part of the asset manager. Limmat Capital Alternative Investments AG takes appropriate organisational measures to limit these and to ensure the best possible execution of orders.

### 2.4 Market Universe Considered

The investment universe considered includes third-party liquid financial instruments and may include, among others, the following asset classes:

- Equities (in particular from developed markets)
- Bonds
- ETFs and other collective investment schemes
- Derivatives
- Structured products
- Alternative investments

### 2.5 Information on Fees and Remuneration

Information on any third-party compensation (retrocessions) and their treatment will be communicated to you separately.