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Swiss Fund Services
oligo



FUND REPRESENTATION AND DISTRIBUTION

for qualified and non-qualified investors
in Switzerland

1 YOU DISTRIBUTE YOUR FUNDS IN SWITZERLAND

Your funds are already or will be distributed in Switzerland to qualified and/or non-qualified investors.

2 YOU WILL NEED A SWISS REPRESENTATIVE

The modifications introduced by the CISA law require, among other things, that all foreign funds distributed to Swiss investors have a Swiss representative.

3 OLIGO SWISS FUND SERVICES

An experienced team making quality its standard. We provide the services you need in order to comply with Swiss law, while you focus on your core business.



THE EVOLUTION OF SWISS REGULATION

2015: CISA IS REVISED

The Collective Investment Schemes Act (CISA) was revised in March 2013. Following a 2-year transition period it came into full force on March 1st 2015.

The key changes were:

- The segmentation of the Swiss investor base into non-qualified investors and qualified investors (regulated and non-regulated).
- The requirement to appoint a Swiss legal representative and a Swiss paying agent for the marketing of funds also to non-regulated qualified investors (e.g., pension funds, family offices, independent wealth managers or high-net-worth individuals), in addition to the previously existing requirement for non-qualified investors.

DEVELOPMENT SINCE 2015 AND OUTLOOK

The changes in the CISA led to the establishment of a number of new firms offering legal representation services.

There are currently about 15 firms, falling into two groups:

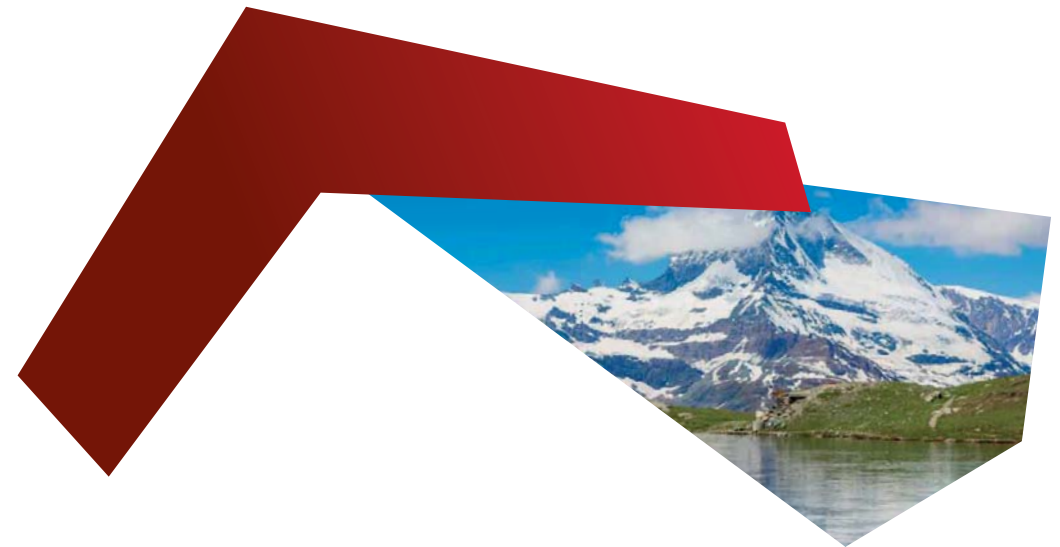
- a) firms that are authorised to represent all types of funds for all types of investors;
- b) firms that are only authorised for the representation of funds distributed to qualified investors.

OLIGO'S DIFFERENCE

Oligo is [authorised to represent UCITS and AIFs](#) for distribution to qualified and non-qualified investors.

Our high-quality specialist team, extensive experience and proven credibility in the Swiss finance market make us the ideal partner for your distribution.

With a proprietary IT platform for our Due Diligence and Contract Management, specifically designed with this business in mind, we are able to offer [top quality service at a lower cost](#) than most other providers.



OUR SERVICES

Oligo provides a one-stop-shop service comprising legal representation, distribution services and organising with the paying agent bank.

DISTRIBUTION IN SWITZERLAND

- Providing access to distribution through banking platforms.
- Contracting with distributors.
- Performing due diligence on proposed distributors.
- Providing the fund with distribution contracts compliant with the Swiss Fund and Asset Manager Association (SFAMA) standards, and acting as a contracting party.
- Negotiating distribution contracts with distributors at the fund's request and within the limitations of the SFAMA distribution agreements.
- Facilitating contact with qualified investors in Switzerland through free cap-intro events and meetings in Geneva and Zurich.
- Free listing of the fund on our online distribution platform Oligoworld accessible only to investors based in Switzerland.
- Acting as a global distributor to organise retrocessions for distributors and third-party marketers.

CROSS-BORDER DISTRIBUTION

- Registration for distribution in 50+ countries.

REPRESENTATION

- Undertaking legal representation according to the CISA law, including direct communication with FINMA and investors in case of queries.
- Fund analysis and on-site due diligence.
- Providing regular updates to the fund manager on relevant regulatory developments in the Swiss fund market.
- Arranging for paying agent services with one of Oligo's service providers.
- Obtaining FINMA authorisation for fund distribution to non-qualified investors.
- Annual all-in flat fee.



CAPITAL INTRODUCTION EVENTS

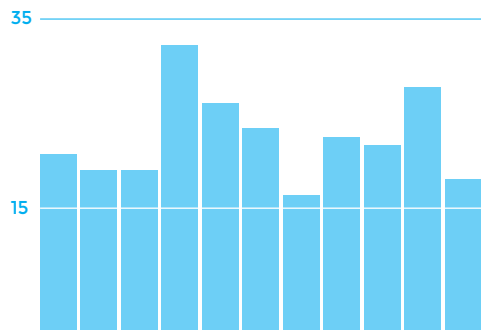
QUARTERLY CAP-INTRO EVENTS IN GENEVA AND ZURICH

Included in our service offer and free to our customers.

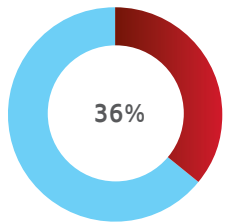
MEET PROSPECTS IN THE TWO LARGEST FINANCIAL CENTERS IN SWITZERLAND

In a charming setting in 5-star lakefront hotels.

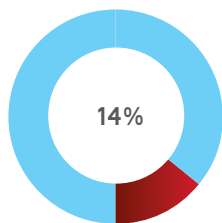
Our research shows that about **30% of attendees** invest in the funds presented at our events.



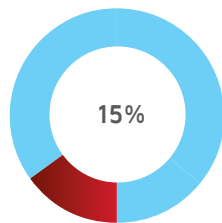
With on average **25 attendees**, Oligo's events are the ideal size for connecting with investors.



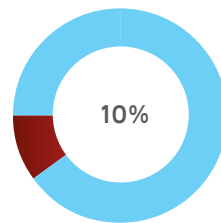
Wealth Managers



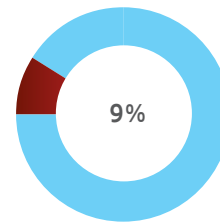
Advisors



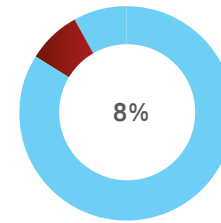
Family Offices



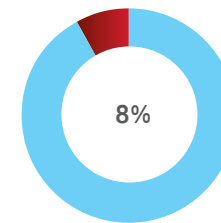
Private Banks



Distributors



Fund Managers



HNWI

The varied audience includes representatives of all key investor groups.

TWO EVENT FORMULAS

1 A traditional **STAND-UP PRESENTATION** for a longer, in-depth presentation.

2 An intimate **ROUND-TABLE FORMAT** with 4-5 investors at a time for a more interactive pitch and discussion.



Presentations are accompanied by a **rich breakfast** or a finely-prepared **cocktail dinner**.



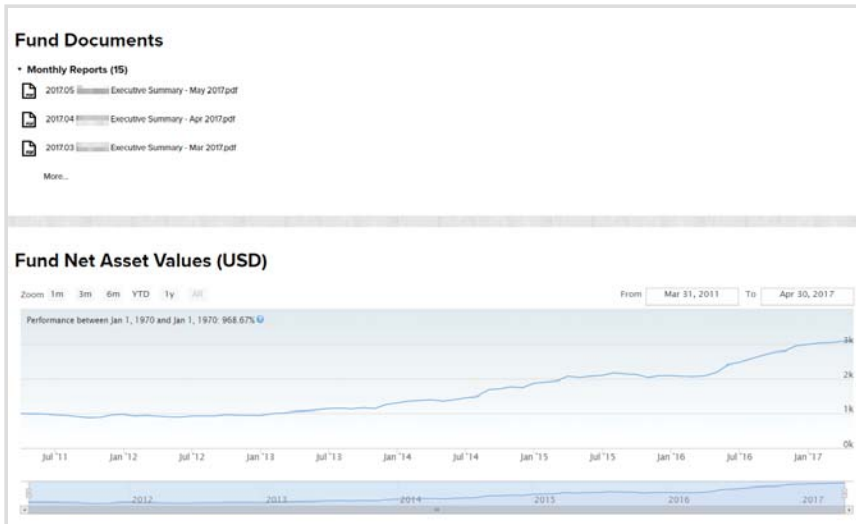
After the presentations, the pleasant setting and relaxed atmosphere encourage **networking**.

Oligo is committed to not only fulfil your regulatory compliance obligations, but also actively assist you in establishing your presence on the Swiss market.

OLIGOWORLD

OLIGO'S ONLINE DISTRIBUTION PLATFORM

Included in our service offer and free to our customers.



THE IDEAL SHOWCASE FOR OUR CLIENTS' FUNDS

Shows extensive fund information including performance history, analysis, statistics, investor information and fund documents.

COMPLIANT WITH SWISS REGULATIONS

Oligoworld is only accessible to investors located in Switzerland, and supports both funds distributed to qualified and non-qualified investors.

CONTROLLED BY YOU, CURATED BY OLIGO

The fund has full control over what information to show. We take care of keeping it up-to-date.

The screenshot displays a 'Fund Information' page with several sections:

- Fund Strategy:** Equity Long/Short - Biotech, Geographical mandate: Global
- Fund Profile:** Inception: 1 Oct 2015, Domicile: Cayman Islands, Currency: USD, Structure: Master-Feeder, Legal Structure: Exempted company
- Contact Details:** Fund Manager: NY 10019 New York New York USA, email, phone
- Service Providers:** Administrator, Custodian: Morgan Stanley Prime Brokerage, Auditor: Rankin Berkower (Cayman) Ltd., Legal Advisors: Fulvio & Associates, LLP, Tannenbaum Helpert Syracuse & Hirschtritt LLP, Swiss Representative: Walkers, Oligo Swiss Fund Services SA, Swiss Paying Agent: Banque Cantonale de Genève
- Fees and Redemption structure:** Management fee (%): 1.75, High water mark: Yes, Hard lock up: No

A POWERFUL COMPLIANCE AND MANAGEMENT TOOL

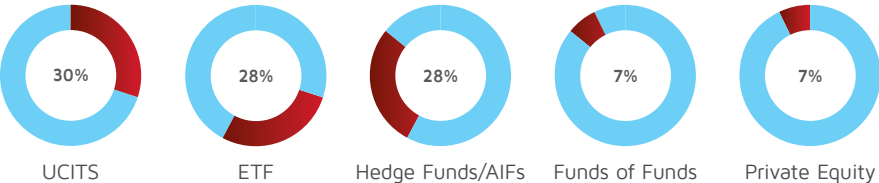
Behind the scenes, Oligoworld provides Oligo with powerful client management, compliance and follow-up tools. This improves our quality and allows us to offer you the best prices.



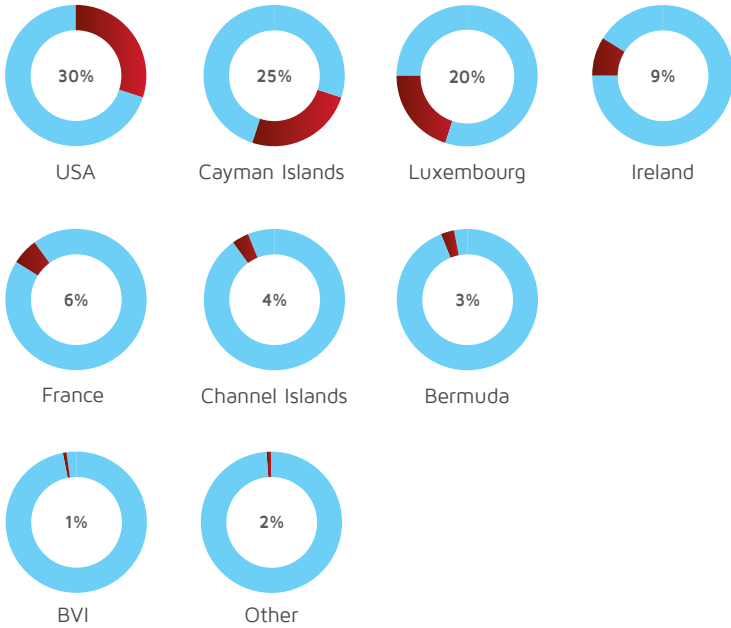
OLIGO'S EXTENSIVE MARKET EXPERIENCE

We represent hundreds of funds of different types and domiciliations, with managers in different regions. Thanks to this, we know how to address the specific requirements for each particular case.

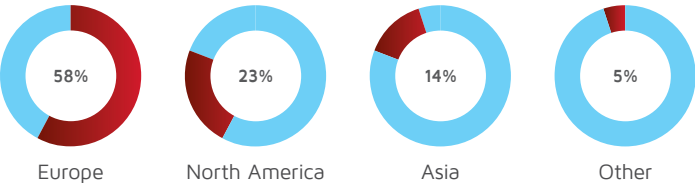
FUND TYPES



FUND DOMICILIATION



INVESTMENT MANAGER REGION



OUR SPECIALIST TEAM



CEO LUIS PEDRO

Luis is the company founder, CEO and head of client relations.

As CIO of a FOHF and CEO of a Swiss subsidiary of a multinational group, Luis has deep experience in the analysis, selection and due diligence of investment funds. He worked at CERN in research on cloud distributed database systems.

Luis has a MSc in Physics Engineering from Lisbon university and a PhD in Computer Science from UNIGE.



CHIEF COMPLIANCE AND RISK OFFICER ANNE COLLET

As Chief Risk Officer and Chief Compliance Officer, Anne ensures that norms and quality standards are maintained.

Following 15 years as an auditor at Price Waterhouse Coopers, she joined Edmond de Rothschild in Geneva in the Investment Funds department. In addition to Swiss fund distribution, she set up and supervised Luxembourg funds for external clients in a regulatory context.

Anne has a MSc in business from HEC Lausanne.



CHIEF OPERATIONS OFFICER MATTEO RISOLDI

After several years as software team leader and project manager, Matteo turned to more commercial activities within Fintech for fund management, led fund raising campaigns and developed and managed various commercial and research projects.

He is a great communicator with focus on client needs.

Matteo has a PhD in Computer Science from UNIGE and has been recognized with a University diploma in Computer Science for his research work at CERN.



COMPLIANCE OFFICER JOANA DE BURGO

After several years in regulation, communications, methodology and corporate ethics, Joana has turned her attention to compliance and AML concerns.

Whilst supporting the CEO of YCAP Asset Management she completed client reporting, compliance, and administrative tasks.

Joana has a CISA Compliance Officer Diploma, a MSc in Psychology from Lisbon University and a PhD in Psychology from UNIGE.



CLIENT RELATIONS VALÉRIE MAURY

Valérie executes a sales role combined with client relations and events management.

Ten years in customer care in banking led to a role in fund selection and due diligence for a FOHF.

Valérie has a GIFOP Professional Banking Diploma from JEUN-COMM in Lausanne.



BUSINESS DEVELOPMENT MARK WILLIAMS

Mark has a varied financial experience in various roles but most prominently trading and broking.

After several years spent on the LIFFE and MATIF as a local, he distributed hedge funds as a third party marketer.

SWISS INVESTORS

Any individual or entity domiciled in Switzerland

QUALIFIED INVESTORS

REGULATED

- Banks
- Insurance companies
- Other regulated companies*

REQUIREMENTS

None

NON-REGULATED

- High-net-worth individuals
- Pension funds
- Independent asset managers (wealth managers)**
- Family offices

REQUIREMENTS

- Swiss representative
- Swiss paying agent

NON-QUALIFIED INVESTORS

- Retail investors

REQUIREMENTS

- Swiss representative
- Swiss paying agent
- FINMA authorization



* <https://www.finma.ch/en/finma-public/authorised-institutions-individuals-and-products>

** <https://www.finma.ch/en/authorisation/self-regulatory-organisations-sros/sro-member-search>

HOW IT WORKS

FOR QUALIFIED INVESTORS

CONTACT WITH THE FUND

First contact is made between Oligo and an interested fund manager.

FUND SENDS OFFICIAL DOCUMENTS

The fund sends Oligo all relevant official documents.

OLIGO'S FUND ANALYSIS

Oligo's team of analysts proceeds with the fund analysis, including due diligence. A thorough understanding of our customers and their products is crucial for Oligo's quality standards.

AGREEMENT NEGOTIATION

The fund and Oligo negotiate the fund representation agreement. Oligo assists the fund in negotiating the paying agent agreement with a bank in Switzerland.

SIGNED AGREEMENTS

The representation agreement and the paying agent agreement are signed. A distribution agreement is established and signed.

CHANGE OF LEGAL DOCUMENTS

The fund's prospectus and key investor information documents are amended with the compulsory Swiss legal wording, mentioning the Swiss representative and the Swiss paying agent. Documents of funds distributed to non-qualified investors are translated into an official Swiss language.

DISTRIBUTION AUTHORISATION IN SWITZERLAND

The fund is ready for distribution in Switzerland; distribution can follow with or without Oligo's assistance.

FUND LISTING ON OLIGOWORLD

If the customers so desire, they can list their funds on our online distribution platform Oligoworld, which is accessible only to Swiss-based investors.

This service is free for Oligo customers.



HOW IT WORKS

FOR NON-QUALIFIED INVESTORS

NEGOTIATION PHASES AS FOR QUALIFIED INVESTORS

After first contact with an interested fund manager, Oligo receives all relevant official documents from the fund. Oligo's team of analysts proceeds with the fund analysis, which involves due diligence. Although this step is not yet required by FINMA, it is crucial for Oligo's quality standards. After this analysis, Oligo will then send a proposal to the fund manager. If the proposal pleases the client, the contract signature follows.

FUND CERTIFICATE FROM THE SUPERVISORY AUTHORITY

In the meantime, the fund asks the local financial regulator in its country for an original signed copy of the fund certificate granted by the supervisory authority. In the meantime, Oligo will be adding the information specific to Swiss investors to the prospectus and other key fund documents.

FUND DOCUMENTS ARE CHANGED AND TRANSLATED IF NEEDED

Additionally, if needed, the fund prospectus, the KIID, and the annual and semi-annual reports shall be translated in order to be published and reported to FINMA. Accordingly, the legal documents will be amended with the compulsory Swiss-specific legal wording. During the previous phases, Oligo will also continue to prepare the request for fund approval by FINMA.

OFFICIAL FUND DOCUMENTS ARE SIGNED AND SENT TO OLIGO

A set of official fund documents must be signed by various parties, such as the fund, the custodian, and the administrators.

OLIGO SENDS FUND APPROVAL REQUEST TO FINMA

When Oligo is in possession of all requested documents (signed official documents and original certificate granted by the supervisory authority), the formal request for fund approval can finally be sent to FINMA.

FINMA ANALYSES THE FUND APPROVAL REQUEST

It usually takes FINMA from three weeks to a month to analyse and approve a dossier.

THE FUND IS AUTHORISED TO BE DISTRIBUTED IN SWITZERLAND

The fund will be now ready for authorised distribution to retail (as well as qualified) investors in Switzerland and the distribution course can take place with or without Oligo's assistance.

