

# Helfenstein Asset Management AG

Pilatusstrasse 23, 6003 Luzern, Switzerland · +41 41 211 29 29 · UID CHE-111.708.730 · LEI 894500URZFTDV5G7F357

FINMA Portfolio Manager Authorisation No: CH-111.708.730 | Decision Date: 12.01.2022 · Ongoing Supervision: OSFINcontrol AG | Affiliation Ref: OSFIN-111.708.730 | Since: 12.01.2022

---

## Schedule of fees and charges

This schedule sets out the standard fees of Helfenstein Asset Management AG for independent financial advice and portfolio management. It applies from 15.09.2026 unless a written mandate agrees different rates. Amounts are exclusive of Swiss VAT where VAT is due. Custody, brokerage, stamp duty, exchange fees and product TER are charged by your bank or the product issuer, never by us.

### 1. Discretionary portfolio management

An annual management fee on assets under the mandate, billed quarterly in arrears on the average market value of the period.

|                               |            |
|-------------------------------|------------|
| On the first CHF 2,000,000    | 0.95% p.a. |
| On the next CHF 3,000,000     | 0.75% p.a. |
| On assets above CHF 5,000,000 | 0.55% p.a. |
| Minimum annual fee            | CHF 8,500  |

### 2. Investment advisory (non-discretionary)

An annual advisory fee where you retain execution authority and we provide written recommendations and monitoring.

|                               |            |
|-------------------------------|------------|
| On the first CHF 2,000,000    | 0.70% p.a. |
| On the next CHF 3,000,000     | 0.55% p.a. |
| On assets above CHF 5,000,000 | 0.40% p.a. |
| Minimum annual fee            | CHF 6,000  |

### 3. Performance fee

Available only on discretionary mandates and only if elected in the written mandate. 10% of outperformance versus the agreed benchmark, calculated annually with a high-water mark. No performance fee is charged on advisory mandates, financial-planning work or cash held solely for liabilities.

### 4. Project and planning work

|                                                 |                                    |
|-------------------------------------------------|------------------------------------|
| First consultation (about one hour)             | No charge                          |
| Financial planning / project work               | CHF 280 per hour, or a fixed quote |
| Written second opinion on an existing portfolio | From CHF 1,800                     |

### 5. What we do not charge

We accept no retrocessions, trailer fees or placement commissions from product providers. Any third-party payment we cannot avoid is credited to you in full. We do not charge entry, exit or custody fees. Advisers have no product sales targets.

## 6. Billing

Fees are invoiced to you or, where you instruct, collected via your custodian bank. You may terminate a mandate in accordance with the general terms; prepaid amounts for unused periods are refunded pro rata.

---

Helfenstein Asset Management AG, Pilatusstrasse 23, 6003 Luzern, Switzerland. Document date 15 September 2026. This document does not constitute personalised advice. Swiss law; exclusive place of jurisdiction Lucerne, Switzerland.