Lion Capital
GmbH · SWITZERLAND

Baarerstrasse 43, 6300 Zug
official@lion-capital.at
www.lion-capital.at
UID CHE-113.455.534

Confidential — for the addressee only

Regulatory Status

Lion Capital GmbH — Authorisation and Supervision

Effective date: 15 January 2026 · Switzerland

1. Company Information

Legal name: Lion Capital GmbH

Registered office: Baarerstrasse 43, 6300 Zug, Switzerland

UID: CHE-113.455.534

Incorporated: 2007

2. Regulatory Authorisation

Lion Capital GmbH is authorised by the Swiss Financial Market Supervisory Authority (FINMA) as a portfolio manager (independent asset manager) pursuant to Swiss Financial Services Act (FinSA).

Date of FINMA authorisation: 1 January 2022

Ongoing prudential supervision is carried out by Swiss Financial Market Supervisory Authority (FINMA).

Activity: portfolio management of client assets held at an independent regulated custodian bank (Julius Bär & Co. AG), in accounts opened in the client's own name. The Company does NOT take deposits and does NOT itself hold client assets.

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3. Verification of Regulatory Status

The authorisation of Lion Capital GmbH can be independently verified in the public register maintained by FINMA.

To verify, visit: https://www.finma.ch/en/finma-public/authorised-institutions-individuals-and-products/ and search for "Lion Capital" or UID CHE-113.455.534.

Supervisory organisation register: https://www.finma.ch.

FINMA does NOT issue physical licence certificates or "regulatory status notices" with numbers, seals, signatures, or stamps. Any such document is NOT issued by the regulator and should be disregarded. Authorisation exists only as an entry in the public FINMA register.

4. Regulatory Framework

Lion Capital GmbH operates under Swiss Financial Services Act (FinSA) and is subject to ongoing supervision.

Regulatory obligations include: organisational and capital requirements, rules on the handling of client assets, AML/KYC obligations, conduct of business standards, and reporting requirements.

5. Client Protection

Supervision provides oversight of the Company's conduct and organisation, but does NOT guarantee investment performance or the value of client assets.

Clients should conduct their own due diligence before entering into any asset management relationship.

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6. Regulatory Contact

Swiss Financial Market Supervisory Authority

Website: https://www.finma.ch

For complaints or regulatory inquiries, clients may contact FINMA or the supervisory organisation directly.

This document is provided for information purposes only. It is not a certificate of authenticity and bears no official seal, signature or stamp. The current version and the regulatory status of the Company can be verified in the public FINMA register and on the official company website.

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