



## STATEMENT OF THE COMPANY OWNER

Our entrepreneurial spirit and clear values have always shaped the company and form the basis for continuity and independence. Furthermore, we deem neutrality, objectivity and fairness as a supporting pier of our activity. The customer is always in the center of all activities with his needs. However, we do not only convince our customers through professional service. But above all by the fact that we live our philosophy daily.



CEO, Stefan Buser

## COMPANY PHILOSOPHY

Rising Capital Corp. is a family office founded in 1998 in Lausen BL. As an international finance boutique, we have been moving successfully, competently and responsibly in the environment of the markets, in a profiled and independent manner. What you miss with large providers, we provide you in concentrated form. We also guarantee the quality of our service by controlling our growth. This allows us to pay our greatest attention to each customer. We always take a lot of time and our advice, which is always focused on the customer, can be relied on. You receive a valuable advice - and not a sales talk. The fulfillment of customer wishes is one of our top priorities, according to the motto "The Customer is King".



As a licensed financial intermediary and asset manager, we are not only regularly audited, but also obliged to the consistent observance of the professional standards of the industry association. This give our customers the certainty of being in good hands with respect to respectability, investor protection and money laundering. Furthermore, our corporate philosophy and our behavior are characterized by honesty, trust and honest conduct. You can always count on our word and we promise nothing that we can not really keep. But employee satisfaction is also very important to us. Because only satisfied employees create satisfied customers.

## OUR ASSET MANAGEMENT

### MANAGEMENT APPROACH

Our asset management for private and institutional clients is the connection of tradition with innovation. We pay attention to classical elements and tried and true principles in the modern age as well, but complement them with novel financial theories. In the pursuit of maximum performance with the greatest possible reliability, the management of fixed assets requires appropriate competence, carefullness and transparency. Our professional asset management meets these requirements perfectly. An excellent basis, therefore, to be always two steps ahead of the progressive changes in the financial business. So that you can participate too in the chance rich developments.

We maintain your capital as if it were our own and give the relationship with the clientele a personal touch. Your contacts are well-versed, experienced and entrusted to the mechanisms of the international financial markets. An instinctiv flair for tendencies, determination to act and a lot of skill in the implementation - these are the marks of our portfolio management. These qualities are the best possible guarantee for a sustainable and continuous performance of your assets.



## INFORMATION ABOUT THE FINANCIAL SERVICE PROVIDER

(according to Financial Services Act FIDLEG)

Year of foundation: 1998  
Office: CH-4452 Itingen, BL  
Type of company: Family company  
Legal form: Corporation  
Share capital: CHF 350'000  
Services: Asset Management  
Research – Analysis - Development



Contact details, domicile:

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Management:

Stefan Buser

FinSA:

The company has been fully implementing the legal requirements as a financial intermediary since January 1, 2020 and meets all legal requirements for its activities.

Professional liability insurance:

Zurich Versicherungs-Gesellschaft AG

Consultant Register:

BX Swiss AG - [regservices.ch](http://regservices.ch), Talstrasse 70, 8001 Zürich, [www.regservices.ch](http://www.regservices.ch), ID SB44185  
*Client advisors, i.e. natural persons who provide financial services in the name of a financial service provider or as financial service providers themselves, must be entered in an consultant register. All our customer advisors are therefore registered with BX Swiss AG.*

Ombuds office:

Ombudsstelle für Finanzdienstleister (OFD), Bleicherweg 10, 8002 Zürich  
*Since the Financial Services Act came into force, as a customer of a financial service provider you may take recourse to an ombudsman procedure at an ombuds office recognized by the Federal Department of Finance. Therefore, the company has joined the OFD.*

Legal basis:

Bundesgesetz über die Finanzdienstleistungen FIDLEG/FIDLEV 2018  
Bundesgesetz über die Finanzinstitute FINIG/FINIV 2018  
Geldwäschereigesetz GwG 1997, Standesregeln Branchenorganisation VQF

Economic ties:

There are no economic ties to third parties. The company acts completely independently.

Asset Management:

Within the framework of an asset management mandate, all investment decisions and their implementation are delegated to us. In this case, we are obliged to first conduct a so-called appropriateness and suitability test and to draw up an individual risk profile.

Considered market supply:

We have no financial instruments of our own. Our advice and recommendations in the investment business are therefore always independent and neutral. However, we inform all clients transparently about the costs incurred as well as the opportunities and risks.

Conflicts of interest:

There are internal directives as well as organizational measures to identify potential conflicts of interest in business activities and to prevent them accordingly.

Customer segments:

Private clients, professional clients, institutional clients