



**Affiliation form
to
the Foundation OFS Ombud Finance Switzerland**

Mediation organ recognized as per art. 74 FinSA by decision of the Federal Department of Finance dated June 24, 2020 (hereinafter "Mediation organ", "OFS")

(enclose proof of payment of the application and annual affiliation fees with this application).

Company name/Name of Financial Services Provider/Financial Adviser (delete as appropriate) (hereinafter referred to as the "Affiliate" and/or "Service Provider")

(One affiliation per legal entity)

(for an affiliation of financial advisers, the affiliation can be made in the name of the legal entity that employs the financial advisers; if the adviser is self-employed, then the affiliation is personal and in the name of the adviser)

Registered office and, if different, effective address:

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Contact person(s):

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.....

Contact e-mail address(es):

Telephone:

If the Affiliate is a financial adviser, name of the Register of Financial Advisers¹ :

¹ Does not apply to service providers subject to FINMA authorization

By submitting this form to OFS, the Service Provider undertakes to comply with the OFS Affiliation Rules, the rules of procedure and all other OFS regulations, as well as the rules relating to compulsory mediation provided for in Title 5 of the Financial Services Act. These regulations are available online on the website of the mediation body, www.ombudfinance.ch. The Service Provider confirms that it has read the Affiliation Rules and in particular the provisions relating to automatic reminders, notices and disaffiliation.

The Affiliate undertakes to inform OFS of any change in its status (change of address, company name, contact details, email address or cessation of activity). It bears the risks of incomplete, incorrect or illegible information.

The Affiliate understands and accepts that communications with OFS take place primarily by email and undertakes to respond to emails received from OFS. OFS is not responsible for the consequences of any change in the Affiliate's email address system or any other change in the Affiliate's contact details which has not been duly communicated to OFS.

The Affiliate undertakes in particular to:

- a. inform its clients of the possibility of initiating a mediation procedure and provide them with the name and address of the Mediation Organ (art. 79 FinSA);
- b. take part in the mediation procedure conducted by the Mediation Organ (art. 78 FinSA);
- c. use the OFS logo only in accordance with the terms stipulated in the Affiliation Rules;
- d. pay the annual affiliation fee in accordance with the Affiliation Rules.

The Affiliate is aware of the provisions contained in art. 83 and 88 of the FinSA, which oblige the Mediation Body to provide certain information to the competent supervisory authorities and the registration body (register of advisors), in particular information on Affiliates and on financial services providers or advisors whose admission was refused or which were excluded.

OFS keeps a list of all affiliated Service Providers. The collection and processing of personal data in connection with an affiliation and its storage in the database of the Affiliates are carried out by OFS in compliance with the provisions of the Data Protection Act (see data protection declaration www.ombudfinance.ch). Service Providers have all rights provided for in the Data Protection Act, namely the right to information and rectification.

This agreement is governed by Swiss law. Any dispute arising from this agreement shall be subject to the jurisdiction of the courts at the seat of the Mediation Body in Bern.

For the Affiliate:

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Signature

.....
Signature

.....
First name

.....
First name

Date: