



Fee Schedule

Valid as of February 1, 2019

Service models

Falcon Private Bank offers five different service models:

Asset management					
Advisory			Active Advisory fee		Management fee
Transactions	Brokerage commissions	Advisory all-in fee	Brokerage commissions	Active Advisory all-in fee	
Custody	Custody fee		Custody fee		
Banking	Service fee	Service fee	Service fee	Service fee	Service fee
	Advisory		Active Advisory		Mandate

Third party custody fees and brokerage commissions are included for Market Group I but are excluded for Market Group II (details available upon request):

Market Group I: Canada, Hong Kong, Japan, Singapore, Switzerland, United Kingdom, United States, Western Europe

Market Group II: Eastern Europe, Middle East, North Africa, Russia, South East Asia, South East Europe, other

Third party fees for funds, derivatives and non-exchange traded instruments, as well as duties and taxes (VAT, stamp duty, etc.), where applicable, are always charged on top. An additional handling fee may apply. Extraordinary custody fees may be applied by a third party custodian in special circumstances, e.g. low intrinsic value instruments, such as penny stocks or depository receipts.

Fees refer to the asset value in CHF or the equivalent value in a foreign currency. Recurring fees are charged on a quarterly basis. At account closing, fees are charged immediately.

I. Service fee

Depending on the banking package chosen, the following services are available:

		Standard	Premium
Fee (p.a.) ¹⁾		CHF 1'500	CHF 2'500
General	Dedicated relationship manager	✓	✓
	Periodic review and update of client investment profile	✓	✓
	E-banking ²⁾	✓	✓
	Direct access to the Trading desk	*	✓
Accounts	Number of cash accounts	3	Unlimited
	Custody accounts	✓	✓
	Precious metal accounts	✓	✓
Statements	Account statements	✓	✓
	Portfolio statements	✓	✓
	Statement frequency	Annually ^{3) 4)}	Monthly
	Generic tax statement ⁵⁾	✓	✓
	Falcon Private Bank investment publications	✓	✓
Other	Loan limit	✓	✓
	Credit card	*	✓

¹⁾ For Mandate clients, only the premium service is available.

²⁾ Available only to clients domiciled in certain countries.

³⁾ Monthly statements available for CHF 250 (p.a.).

⁴⁾ EEA clients receive statements on a quarterly basis.

⁵⁾ Including capital gains.

II. Custody fee

Custody Accounts | Precious Metal Accounts

Asset value (CHF)	Tariffs (p.a.)
Up to 2 mn	0.40%
2-5 mn	0.35%
5-10 mn	0.30%
10-20 mn	0.25%
20-40 mn	0.20%
Above 40 mn	0.15%
Minimum fee	-

Blockchain Assets

Asset value (CHF)	Tariffs (p.a.)
Up to 0.5 mn	1.50%
0.5-2 mn	1.35%
2-5 mn	1.20%
5-10 mn	1.00%
10-20 mn	0.80%
20-40 mn	0.60%
Above 40 mn	0.50%
Minimum fee	-

Custody fees are calculated on a cumulative basis. The custody fee is charged on the portfolio value, excluding cash, fixed-term deposits and fiduciary deposits. Positions without assigned values are charged at CHF 500 (p.a.) per position. Tariffs for precious metal accounts do not include third party custody fees. Precious metal accounts are available for gold, silver, platinum and palladium.

III. Brokerage commissions

Exchange Traded Instruments (Bonds, Equities, ETFs, Warrants) | Traded Options

Transaction volume (CHF)	Market Group I	Market Group II	Traded Options ¹⁾
Up to 50'000	0.80%	1.20%	1.00%
50'000-100'000	0.70%	1.10%	0.90%
100'000-250'000	0.60%	1.00%	0.80%
250'000-500'000	0.50%	0.90%	0.70%
500'000-1'000'000	0.40%	0.80%	0.60%
Above 1 mn	0.30%	0.70%	0.50%
Minimum fee	CHF 160	CHF 240	CHF 200

¹⁾ The asset size equals the premium on the option. Tariffs are double for options with physical settlement.

Money Market Funds | Traditional Funds | Non-Traditional Funds | OTC Instruments (Bonds, ELNs)

	Money Market Funds	Traditional Funds	Non-Traditional Funds	OTC Instruments
Transaction volume (CHF)	Tariffs	Tariffs	Tariffs	Tariffs
Up to 50'000	0.50%	1.20%	2.10%	0.80%
50'000-100'000	0.45%	1.00%	1.80%	0.70%
100'000-250'000	0.40%	0.80%	1.50%	0.60%
250'000-500'000	0.35%	0.70%	1.20%	0.50%
500'000-1'000'000	0.30%	0.60%	0.90%	0.40%
Above 1 mn	0.25%	0.50%	0.60%	0.30%
Minimum fee	CHF 100	CHF 240	CHF 420	CHF 160

Financial Futures | Commodity Futures

	Tariffs
Per contract	CHF 50
Minimum fee	CHF 150

Tariffs are applied at both the opening and closing of a contract.

Structured Products | Certificates

Structured products tariffs are charged against the nominal value. The issue fee is charged on top of other standard brokerage commissions that may apply: see table under Exchange Traded Instruments | Traded Options.

DOCU tariffs are based on annualised values (issue fee and standard brokerage commissions pro rata).

	Tariffs
Issue fee	1.00%
Minimum fee	CHF 250

Blockchain Assets

Transaction volume (CHF)	Tariffs
Up to 50'000	3.00%
50'000-100'000	2.80%
100'000-250'000	2.60%
250'000-500'000	2.40%
500'000-1'000'000	2.20%
1-2 mn	2.00%
2-5 mn	1.80%
Above 5 mn	1.60%
Minimum fee	CHF 500

Tariffs include third party fees.

IV. Advisory all-in fee

Asset value (CHF)	Tariffs (p.a.)	Included services
Up to 2 mn	1.30%	<ul style="list-style-type: none"> • Dedicated relationship manager as a single point of contact • The client is the key decision maker while taking advantage of comprehensive investment advice • Suitability check performed for any investment advice • Access to e-banking for placement and execution of transactions
2-5 mn	1.10%	
5-10 mn	1.00%	
10-20 mn	0.90%	
20-40 mn	0.80%	
Above 40 mn	0.70%	
Minimum fee	CHF 6'500	

The Advisory all-in fee is charged on the total portfolio value and available to clients with a regular trading volume. The Advisory all-in fee includes custody fees and brokerage commissions (except for issue fees), as stated in sections II and III. Blockchain Assets are excluded.

V. Active Advisory fee

Active Advisory fee

	Included services
<ul style="list-style-type: none"> • 0.40% Active Advisory fee on top of custody fee and brokerage commissions • Minimum fee CHF 8'000 (p.a.) 	<ul style="list-style-type: none"> • Access to Active Advisory desk • Active advice on investment opportunities • Advice on portfolio composition upon request

The Active Advisory fee is charged on the total portfolio value.

Active Advisory all-in fee

Asset value (CHF)	Tariffs (p.a.)	Included services
2-5 mn	1.35%	<ul style="list-style-type: none"> • Access to Active Advisory desk • Active advice on investment opportunities • Advice on portfolio composition upon request
5-10 mn	1.25%	
10-20 mn	1.15%	
20-40 mn	1.05%	
Above 40 mn	0.95%	
Minimum fee	CHF 22'000	

The Active Advisory all-in fee is charged on the total portfolio value and available to clients with a regular trading volume. The Active Advisory all-in fee includes active advisory fee, custody fees and brokerage commissions (except for issue fees), as stated in sections II and III. Blockchain Assets are excluded.

VI. Management fee

The management fee includes custody fees and brokerage commissions, as stated in sections II and III.

Strategy Mandates

Asset value (CHF)	Single asset class strategies		Multi asset class strategies		
	Fixed income	Equity	Low risk	Medium risk	High risk
0.5–1 mn	1.20%	1.40%	1.30%	1.40%	1.50%
1–2 mn	1.10%	1.30%	1.20%	1.30%	1.40%
2–5 mn	1.00%	1.20%	1.10%	1.20%	1.30%
5–10 mn	0.90%	1.10%	1.00%	1.10%	1.20%
10–20 mn	0.80%	1.00%	0.90%	1.00%	1.10%
20–40 mn	0.70%	0.90%	0.80%	0.90%	1.00%
Above 40 mn	0.60%	0.80%	0.70%	0.80%	0.90%
Minimum fee (p.a.)	CHF 6'000	CHF 7'000	CHF 6'500	CHF 7'000	CHF 7'500

The management fee is charged on the total portfolio value.

ETF Mandates

Asset value (CHF)	Single asset class strategies		Multi asset class strategies		
	-	Equity	Low risk	Medium risk	High risk
0.1–1 mn	-	1.20%	1.10%	1.20%	1.30%
1–2 mn	-	1.10%	1.00%	1.10%	1.20%
2–5 mn	-	1.00%	0.90%	1.00%	1.10%
5–10 mn	-	0.90%	0.80%	0.90%	1.00%
10–20 mn	-	0.80%	0.70%	0.80%	0.90%
20–40 mn	-	0.70%	0.60%	0.70%	0.80%
Above 40 mn	-	0.60%	0.50%	0.60%	0.70%
Minimum fee (p.a.)	-	CHF 1'200	CHF 1'100	CHF 1'200	CHF 1'300

The management fee is charged on the total portfolio value.

Tailormade Solutions

Details
<ul style="list-style-type: none"> · An additional fee applies for tailored mandates · Tailored mandates start at CHF 3 mn for single asset class strategies and CHF 5 mn for multi asset class strategies

VII. Additional services

Fiduciary Deposits

Asset value (CHF)	Tariffs (p.a.)
Up to 250'000	0.500%
250'000–500'000	0.400%
500'000–1'000'000	0.300%
1'000'000–5'000'000	0.200%
Above 5 mn	0.125%
Minimum fee for fixed fiduciary deposits	CHF 200

Deposits are available from 1-12 months including 48 hour coll. The rates are set by Falcon Private Bank's Treasury department and the interest payments for 48 hour coll are paid out on a monthly basis. This offer is only possible with banks approved by Falcon Private Bank.

Bank Guarantees

	Tariffs
Guarantee commission (p.a.)	2.00%
Minimum fee (p.a.)	CHF 10'000
Handling fee (for each amendment)	CHF 10'000

The Bank offers both bank guarantees and credit card guarantees.

Delivery of Securities (in electronic form)

Securities	Tariffs ^{1) 2)}
Equities, Bonds & Traditional Funds	CHF 100
Non-Traditional Funds	CHF 500
Other	Available upon request

Delivery of Securities (in physical form)

Markets	Tariffs ^{1) 2) 3)}
Switzerland	CHF 300
Europe	CHF 400
Overseas	CHF 500

Delivery of Precious Metals (in physical form)

Market	<2kg ^{1) 3)}	2-5kg ^{1) 3)}	>5kg ^{1) 3)}
Switzerland	CHF 150	CHF 200	Upon request

Delivery of Blockchain Assets

	Tariffs
Blockchain Assets	CHF 500

¹⁾ Tariffs do not include third party fees.

²⁾ Per position.

³⁾ Tariffs do not include insurance.

Other

Services	Tariffs
Dormant account	CHF 1'500 (p.a.)
Safe deposit box	CHF 140-750 (p.a.) per box, depending on size. Additional charge for key deposit of CHF 150 (p.a.)
Payments domestic	CHF 20 (CHF 10 via e-banking) excl. third party charges
Payments international	CHF 35 (CHF 20 via e-banking) excl. third party charges
Swift confirmation	CHF 50
Credit card	Available upon request
Cash card	Available upon request
Account closing	CHF 500
Special services	CHF 250/h for Falcon Private Bank's staff or third party fees where applicable
Capital payment account	0.1% of the contribution paid in, minimum CHF 200, maximum CHF 5'000
Numbered account ¹⁾	CHF 1'000 (p.a.)
Blockchain investigation fee	CHF 2'500

For clarity reasons, only the most important fees are displayed here. All fees are correct at the time of publication of this fee schedule. Fees are subject to change at any time. Please contact your relationship manager for details of services and fees that are not listed here.

¹⁾ Available only for clients domiciled in certain countries.

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