

G10 Capital Limited (the "Firm") is registered with the SEC as an Investment Advisor.

Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

The Firm offers investment advisory services to retail investors by way of discretionary managed accounts. All managed accounts are monitored in accordance with the terms prescribed within the specific Investment Management Agreement ("IMA"). Please note that the Firm does not make available or offer advice only with respect to proprietary products, or a limited menu of products or types of investments. Please note that all account minimums are determined in accordance with the specific mandate and as specified within the IMA.

Given my financial situation, should I choose an investment advisory service? Why or why not?

All managed accounts are managed in accordance with the client's needs and objectives; financial risk tolerance; and knowledge and experience. A complete suitability assessment will be undertaken to determine if a managed account service would be suitable or not prior to an IMA being entered into.

How will you choose investments to recommend to me?

Please note that our services are discretionary only and no advisory only services are offered.

What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

All Firm investment managers are registered with the Financial Conduct Authority (UK Regulator) as approved persons and/ or have been certified by the Firm in accordance with the Certification Regime (UK requirement). Further specific details regarding experience can be provided on request in relation to any specific mandate.

What fees will I pay?

Please note that all fees are prescribed in the IMA. These will be determined at the outset of the engagement and are dependent on the specific mandate required and the investment strategy being adhered to. Fees may be based on assets under management and will therefore fluctuate or could be prescribed on a fixed fee basis. Please note that there may be conflicts of interest arise in relation to the fee methods set, for example, the more assets there are in a retail investor's advisory account, the more a retail investor may pay in fees, and the Firm may therefore have an incentive to encourage the retail investor to increase the assets in his or her account. Furthermore, fees may be reviewed periodically, but all investors will be notified prior to any change in fees taking effect. The fees paid for the discretionary management service may not be the only fees that your managed account may be subject to. Further fees may be charged for services related to brokerage (payable to the prime broker and any executing brokers engaged) and transaction costs, as well as any costs with regards to the custody of the account. You should familiarise yourself with all costs that will be encountered prior to the finalisation of any IMA. You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

Please note that as all fees are determined on a mandate-by-mandate basis, this example should be discussed with your proposed investment manager prior to entering into any engagement.

What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

The Firm is obligated to act in accordance with the regulatory environment that it operates within. This includes its registration status with the SEC and FCA. The Firm will endeavour to act in the client's best interest whilst operating within the perimeters of the regulatory environment that it functions within. Please note that in addition to the managed account services provided by the Firm, the Firm additionally acts as fund manager and delegated portfolio manager for a number of funds. Depending

on the specific mandate engaged will affect the relevance/prominence of any conflicts. Prior to engagement the Firm will make known any conflicts or potential conflicts of interest that arise and how these conflicts will be managed in accordance with the Firm's conflicts of interest policy. **When we act as your investment adviser**, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here are some examples to help you understand what this means, e.g. Revenue Sharing: Investments where the manager or sponsor of those investments or another third party (such as an intermediary) shares with you revenue it earns on those investments. Please note that any revenue that the Firm will earn from any investment in your managed account portfolio will be clearly communicated to you at the outset.

How might your conflicts of interest affect me, and how will you address them?

Prior to engagement a full conflicts of interest assessment will be undertaken and the Firm will make known any conflicts or potential conflicts of interest that arise and how these conflicts will be managed in accordance with the Firm's conflicts of interest policy. Furthermore, conflicts of interest are continuously monitored throughout the client relationship. The Firm will not act where it cannot manage a conflict of interest.

How do your financial professionals make money?

Investment managers may be remunerated through cash and non-cash remuneration (e.g. shares). Where an investment manager is being remunerated through a non-cash medium, these will be clearly stated at the point of IMA engagement to ensure that this method of remuneration will not give rise to a conflict of interest. Please note that our investment managers are not permitted to undertake excessive risk taking and fee schedules are reviewed at the point of engagement to ensure that they do not encourage this. Please note that this does not prohibit any fees from being structured to reflect the assets under management, or the time and complexity required to adhere to the investment strategy prescribed within the mandate. Please note that as the service offered is limited to discretionary asset management over a managed account, by nature the Firm's investment managers will not be compensated in relation to these activities with reference to: any products sold (i.e., differential compensation); product sales commissions; or revenue from advisory services or recommendations.

Do you or your financial professionals have legal or disciplinary history?

The fitness and propriety of all investment professionals is assessed prior to granting their status as an approved person/certified person. Please note the following search tools: 1. Investor.gov/CRS 2. <https://register.fca.org.uk/> for a free and simple search tool to research you and your financial professionals.

As a financial professional, do you have any disciplinary history? For what type of conduct?

The fitness and propriety of all investment professionals is assessed prior to granting their status as an approved person/certified person.

Contact Us: Please contact us for additional information regarding the advisory services provided and for a copy of the Relationship Summary:

4th Floor, 3 More London Riverside
London
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Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?

You will be provided with contact details for your primary contact at the point of engagement and IMA execution. Your primary contact will be a representative of the Firm.

All complaints should be escalated to the Firm's Compliance Officer, Niall Markey:
Niall.Markey@iqeq.com.