



J. Safra Sarasin

**Firm Brochure and Wrap Fee Program Brochure
Supplement / Form ADV Part 2B**

**J. Safra Sarasin Asset Management
(North America) Ltd**

March 26, 2024

Supervised Persons:

**Thomas H. Maxwell
Tracy Araujo
Nicolas Frick**

J. Safra Sarasin Asset Management (North America) Ltd

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SEC no.: 801-112502

IARD/CRD no.: 292433



Sustainable Asset Management

This Form ADV Part 2B disclosure brochure supplement (the **"Brochure Supplement"**) provides information about the below supervised person(s) employed by J. Safra Sarasin Asset Management (North America) Ltd (**"JSSAMNA"**, **"us"** or **"we"**). The information contained herein supplements our respective Firm Brochure or Wrap Fee Program Brochure /Form ADV Part 2A disclosure brochure (the **"Brochure"**).

You should have received a copy of our Brochure. Please contact us at +41 (0)58 317 64 00 and/or jssamna@jsafrasarasin.com if you did not receive it or if you have any questions about the contents of this Brochure Supplement. The information in this Brochure Supplement has not been approved or verified by the United States Securities and Exchange Commission (the **"SEC"**) or by any state securities authority.

Additional information about JSSAMNA is available on the SEC's website at www.adviserinfo.sec.gov

Overview of Supervised Persons

| | |
|--------------------------------------|---|
| Supervised Person: Thomas H. Maxwell | 3 |
| Supervised Person: Tracy Araujo | 4 |
| Supervised Person: Nicolas Frick | 5 |

Supervised Person: Thomas H. Maxwell

Business address: Rue de la Corraterie 4, CH-1204 Geneva, Switzerland

Direct Phone number: +41 58 317 64 03

Year of birth: 1968

Item 2: Educational Background and Business Experience

Educational background

Bachelor of Law from the University of Geneva and Certified International Wealth manager (CIWM) charter holder.

Business experience

Joined JSSAMNA in April 2018 as Chief Executive Officer and Chief Investment Officer. Prior to that: Executive V.P. Head of Wealth Management (USA) at Lombard Odier Transatlantic Ltd, Canada (7 years), and Senior Client Relationship Manager at Bank Lombard Odier and Cie, Switzerland (12 years).

Item 3: Disciplinary Information

None.

Item 4: Other Business Activities

None.

Item 5: Additional Compensation

None.

Item 6: Supervision

Thomas H. Maxwell is the Chief Executive Officer of JSSAMNA and reports to the Board of Director of JSSAMNA. He oversees investment advisory services provided to clients and evaluates whether such services are suitable in light of their risk profile and investment objectives. All JSSAMNA employees are subject to its policies and procedures, which include (among others) policies covering the provision of investment advisory services to clients and compliance with applicable law. Costantino Menna, JSSAMNA's Chief Compliance Officer, administers its compliance program and can be contacted at the address/telephone number on the cover page.

Supervised Person: Tracy Araujo

Business address: Rue de la Corraterie 4, CH-1204 Geneva, Switzerland

Direct Phone number: +41 (0)58 317 64 02

Year of birth: 1990

Item 2: Educational Background and Business Experience

Educational background

Bachelor of International Business from the Peruvian University of Applied Sciences and CFA Charter holder.

Business experience

Joined JSSAMNA in April 2018 as Assistant Portfolio Manager. Appointed to Portfolio Manager in April 2023.

Prior to that: Wealth Management Assistant (US market) at Lombard Odier Transatlantic Ltd, Canada, (3 years).

Item 3: Disciplinary Information

None.

Item 4: Other Business Activities

None.

Item 5: Additional Compensation

None.

Item 6: Supervision

Tracy Araujo is JSSAMNA's Chief Investment Officer and reports to Thomas Maxwell, JSSAMNA's Chief Executive Officer. She is responsible for investing, managing and monitoring the clients' portfolios according to their risk profile and investment objectives and her investment advisory activities are supervised by Thomas Maxwell. All JSSAMNA employees are subject to its policies and procedures, which include (among others) policies covering the provision of investment advisory services to clients and compliance with applicable law. Costantino Menna, JSSAMNA's Chief Compliance Officer, administers its compliance program and can be contacted at the address/telephone number on the cover page.

Supervised Person: Nicolas Frick

Business address: Rue de la Corraterie 4, CH-1204 Geneva, Switzerland

Direct Phone number: +41 (0)58 317 64 09

Year of birth: 1987

Item 2: Educational Background and Business Experience

Educational background

Higher degree of education in Banking and Finance from the HFBF in Zurich.

Business experience

Joined JSSAMNA in June 2021 as Director and Relationship manager. Appointed to deputy CEO in 2023.

Prior to that: worked in private banking since 2008 and started to focus on US domiciled clients in 2009. He has worked for some of the leading private banks in Switzerland, including BSI AG, Zurich (today EFG, 5 years), Pictet North America Advisors SA, Zurich (4 years) and UBP Investment Advisors SA, Zurich (3 years).

Item 3: Disciplinary Information

None.

Item 4: Other Business Activities

None.

Item 5: Additional Compensation

None.

Item 6: Supervision

Nicolas Frick is the deputy Chief Executive Officer of JSSAMNA and reports to Thomas Maxwell, JSSAMNA's Chief Executive Officer. He is responsible for business development; relationship management and member of the investment committee and his investment advisory activities are supervised by Thomas Maxwell. All JSSAMNA employees are subject to its policies and procedures, which include (among others) policies covering the provision of investment advisory services to clients and compliance with applicable law. Costantino Menna, JSSAMNA's Chief Compliance Officer, administers its compliance program and can be contacted at the address/telephone number on the cover page.

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