

DISCLOSURE OF INFORMATION REGARDING OWN FUNDS REQUIREMENTS

In accordance with the Swedish Financial Supervisory Authority (FFFS 2021:24), European Parliament and Council Regulation No 2019/2033 and Commission Implementing Regulation (EU) No 2019/2034 Gottex Securities AB ("**GOTTEX**") (556980-3256) announces the below periodic information on capital requirements and adequacy.

GOTTEXS PERMIT TO CONDUCT INVESTMENT SERVICES AND ACTIVITIES ETC

GOTTEX is under the supervision of the Financial Supervisory Authority and are authorized to conduct investment services and activities under the Securities Markets Act (2007:528) such as:

- Receipt and transmission of orders in respect of one or more financial instruments in accordance with Chapter 2 Section 1 item 1
- Execution of orders in respect of financial instruments on behalf of clients in accordance with Chapter 2 Section 1 item 2

Own funds

The capital base consists only of core Tier I capital. The company's core Tier I capital includes share capital, statutory reserve, share premium reserve, retained earnings and equity share of untaxed reserves.

Own fund requirement

The regulatory minimum capital requirement is the highest of the following:

- Permanent Minimum Capital Requirement SEK 150 000 EUR
- 25 percent of the company's fixed overheads for the preceding year
- Total K-factor Requirement

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2021 Q3

Own Funds 13 267

Tier 1 Capital 13 267

Additional Tier 1 Capital

Common Equity Tier 1 Capital 13 267

Tier 2 Capital

Own Funds 13 267

Own fund requirement

Permanent minimum capital requirement EUR 150 000 * 10,201 1 530

Fixed overhead requirement 10 580

Total K-factor requirement 1 377

Total own funds requirement, Fixed overhead, highest 10 580

Additional own funds requirement 0

Total own funds requirement 10 580

Capital ratios

CET 1 ratio, % > 56 % 125,40%

Tier 1 ratio, % > 75 % 125,40%

Own funds ratio, % > 100 % 125,40%

Surplus of Total Capital 2 687
