



## Prospective Intermediary Information Pack

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IntaCapital Swiss is a modern and dynamic boutique finance company of Switzerland.

We represent the traditional Swiss Banking practices of discretion, strength, reliability and performance. We deliver a unique, expert and confidential service and assure excellence, financial supremacy and efficiency for our Clients.

We represent wealth, strength and integrity in dealing with our clients who mandate us to seek reliable sources of investment and to establish strong, sustainable relationships.

Based exclusively in Switzerland, we uphold true discretion and quality of service.

## Becoming an Appointed Broker to **IntaCapital Swiss**

ICS believe that solid and credible business can only come through trust and strong relationships. That is why at ICS we maintain a growing network of international intermediaries that provide us with pre-vetted quality business opportunity.

If you are a finance professional or regulated intermediary and are seeking a reliable company to service the bespoke needs and requirements of your clients, we welcome you to join our expanding international broker network.

Our brokers are duly appointed representatives of our Company and operate internationally in all corners of the globe. We offer our appointed brokers full assistance in every respect from advice, constant ability to obtain detailed information and help and assistance in every aspect of international finance, Swiss banking and full client management.

## How to apply to join the **IntaNational Broker Network (IntaBrokerNet)**

To apply, you will need to provide a completed Prospective Intermediary Profile (PIP) which can be downloaded from our web site.

It would also aid your application if you were to provide a brief summary of the type of clients that you can introduce.

If you have any questions, please feel free to contact our broker networks manager at [admin@intacapitalswiss.ch](mailto:admin@intacapitalswiss.ch) or by telephone at +41 22 544 1653.

Our staff can speak several languages and will be pleased to assist you.

## Broker Agreement & Commissions

Once your application has been approved, we shall provide you with an Appointed Broker Agreement which is a binding agreement between us that protects your client confidentiality and of course your commission payments on successful business we do together. You will also receive your IntaNational Broker Network Certificate.

ICS reward our Brokers well and offer them a commission of 20% of ICS completion fee remuneration on introduced transactions.

By agreement, we are also able to add any fees agreed between the Broker and the Client to our closing charges to protect the Broker against non-payment. There are of course no charges to Brokers for joining or using IntaNational Broker Network services.

## Introducing Clients

Our Brokers will make the introduction of their clients to our New Business Department who will guide you through every step of the way. Generally, you will be appointed a Service Agent who will take care of you and your introduced clients.

You will be granted direct access to our expert financiers who will be able to assist you and answer any technical questions you may have.

You will also be given access to us via Skype and utilise our conferencing facilities. You will be able to liaise with

other brokers throughout our international network and exchange help and assistance in dealing with clients around the world as well as utilise the services of our translation staff.

At ICS we believe it is important to develop strong, long-lasting relationships. That is why we place energy and resources in building our strong broker networks.



### Broker Responsibilities

In becoming an appointed Broker with ICS, there are certain criteria that we impose to ensure that only quality business is transacted and to manage our time and our Brokers time more effectively.

That is why we expect that our brokers undertake preliminary checks on the client and to ensure quality control, we would ask that our Brokers undertake preliminary verification of the client prior to making the introduction to ensure that;

- (a) the transaction being proposed is legitimate and economically sound.
- (b) the client has the financial standing that is expected of them. We cannot provide any facilities to clients that are not financially stable or solvent.

- (c) the Broker has undertaken provisional verification of the clients identity and provides copies of photographic identification.
- (d) the Broker provides the full information package on the client.
- (e) the Broker has identified the clients budgets in preparation of any facility that we may be able to structure for them.

In transacting business with the client, ICS will always pass communications and requests via the Broker, allowing the Broker to maintain full control and management of his client. However, ICS expect the appointed Broker to convey information between the client and ICS effectively and correctly manage their client's and our expectations.



## Fees, Costs and Charges



ICS do not levy any advance or upfront charges to clients. ICS undertake preliminary due diligence and compliance work at our own cost.

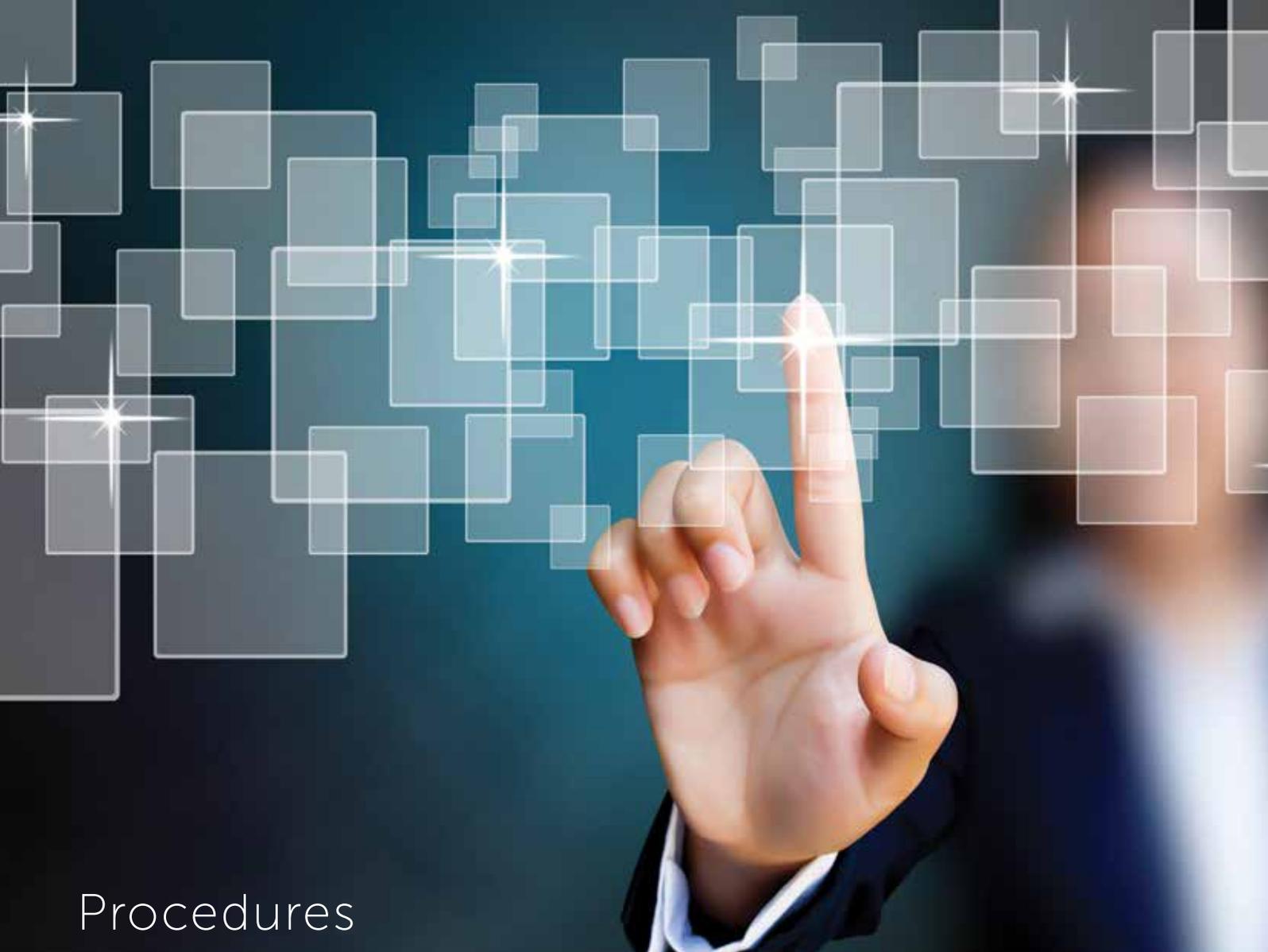
We pride ourselves to be able to offer clients full and detailed Term Sheets without the need for cost contribution.

Only when the client has received the full Terms for the impending facility will they be required to issue a payment guarantee or security deposit against costs. There is of course no obligation for the client to accept the Terms offered and this service is provided free of charge.

It should be noted however, the client will be expected to make payment of costs of establishing the facility once they have been provided with the facilities full terms. This is often made by a payment guarantee or refundable deposit. The amount of which will depend on the type and size of the facility. Generally, we encourage our Brokers to only introduce clients that have an established budget.



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## Procedures

Once we receive the full information package on the client from the Broker, our compliance teams will undertake statutory due diligence and offer an initial approval of the client. This information package is referred to as a Client Information Profile (CIP) which can be downloaded from our web site.

We will study the profile and the clients requirements and would aim to offer a Term Sheet outlining the available facilities to the client. A Term Sheet will contain all of the details, costs, charges and procedures related to that facility. It is considered an 'offering of a facility'.

Once the Term Sheet is accepted by the client, we then proceed to implement the facility and offer the necessary documentation. Generally, we may request a meeting with the client and yourselves ahead of the closure of the transaction. This can take place at our office here or at our CorpFin Division in London or the facilitating bank.

## Contact

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