



# UBAM - SWISS SMALL AND MID CAP EQUITY

## Class I EUR (capitalisation share)

Factsheet | August 2021

For qualified investors only

### FUND CHARACTERISTICS

Legal form	UBAM is a Luxembourg SICAV (UCITS, Part I of the Luxembourg law of 17/12/2010)
Fund domicile	LUXEMBOURG
Currency	EUR
NAV C	189.36
Fund's AUM	CHF 118.35 mio
Track record since	25 January 2017
Minimum investment	-
Subscription	Daily
Redemption	Daily
Price publication	www.ubp.com
Management fee	0.65 %
Number of holdings	61
ISIN	LU1088706053
Telekurs	24875986
Bloomberg ticker	USSMIHE LX

**The benchmark is for information purposes only. The investment objective does not aim at replicating the benchmark.**

Lower risk, 
←
→
 Higher risk,  
 potentially lower rewards potentially higher rewards



### SPECIFIC RISKS

- ◆ **Concentration risk:** To the extent that the Fund's investments are concentrated in a particular country, market, industry or asset class, the Fund may be susceptible to loss due to adverse occurrences affecting that country, market, industry or asset class.
- ◆ **Liquidity risk:** Liquidity risk exists when particular investments are difficult to purchase or sell. This can reduce the Fund's returns because the Fund may be unable to transact at advantageous times or prices.
- ◆ **Risk linked to the use of derivative instruments:** The Fund uses derivative instruments, which means financial instruments whose value depends on those of an underlying asset. Therefore fluctuations in the price of an underlying asset, even if minor, could lead to significant variations in the price of the corresponding derivative instrument.
- ◆ Full details of risks are disclosed in the chapter 'Risk Factors' in the prospectus.

	Fund*	Index
<b>ESG Quality Score</b>	7.07	7.02
<b>Environmental</b>	5.13	5.23
<b>Social</b>	5.28	5.37
<b>Governance</b>	5.99	5.75
<b>Weighted Average Carbon Intensity**</b>	32.55	40.11

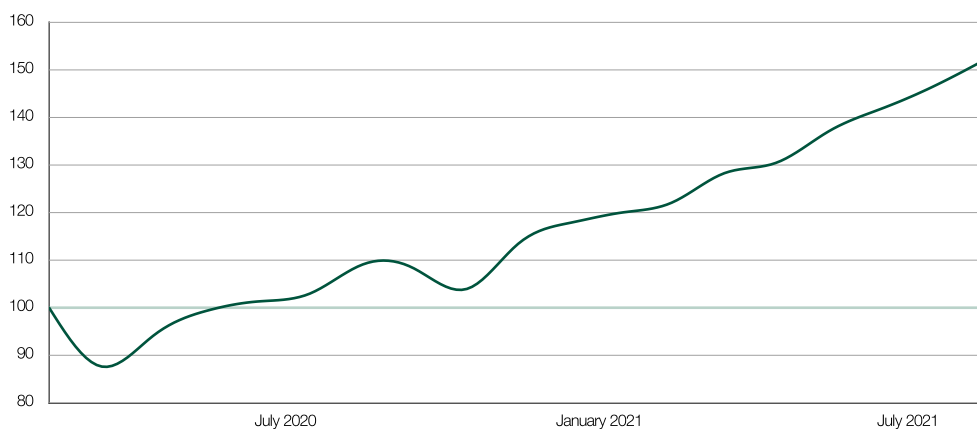
Source: ©2019 MSCI ESG Research LLC - Reproduced by permission. The MSCI methodology, used to calculate the ESG quality score, was changed in April 2019.

\*Based on bond holdings only (excluding cash)  
 \*\* (tons CO2e/\$M Sales)

### ABOUT THE FUND

The fund offers access to global growth opportunities through high-quality Swiss small- and mid-cap stocks. UBAM - Swiss Small and Mid Cap Equity is actively managed and integrates ESG considerations along its investment process. The concentrated portfolio is a reflection of the investment team's high-conviction ideas in the Swiss non-large cap space.

### PERFORMANCE EVOLUTION EUR (NET OF FEES)



— UBAM - SWISS SMALL AND MID CAP EQUITY

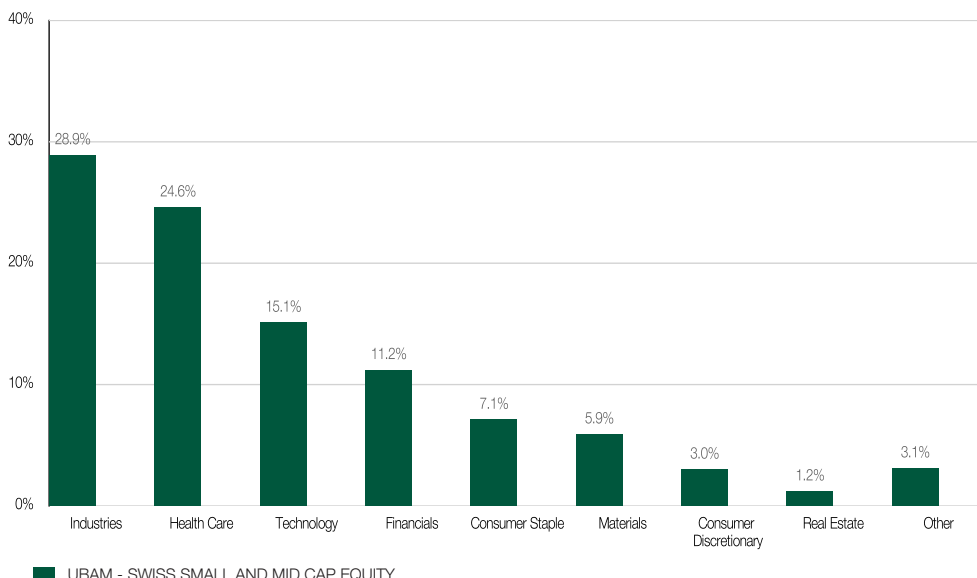
Performance over 5 years or since inception. Source of data: UBP. Exchange rate fluctuations can have a positive or a negative impact on performance. Past performance is not a reliable indicator of future results. The value of investments can fall as well as rise.

### PERFORMANCE HISTORY EUR (NET OF FEES)

	YTD	2020				
UBAM - SWISS SMALL AND MID CAP EQUITY	29.08 %	8.37 %				
	August 2021	3 months	1 year	3 years	5 years	Since inception
UBAM - SWISS SMALL AND MID CAP EQUITY	3.92 %	11.03 %	39.47 %	39.30 %		88.93 %

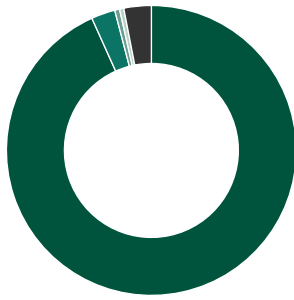
Since launch. Source of data: UBP. Exchange rate fluctuations can have a positive or a negative impact on performance. Past performance is not a reliable indicator of future results. The value of investments can fall as well as rise. Past performance figures are stated in the currency of the share class and calculated with dividends reinvested; they are free of ongoing charges. The calculation does not take into account sales commissions and other fees, taxes and applicable costs to be paid by the investor. For example, with an investment of EUR 100, the actual investment would amount to EUR 99 in the case of an entrance fee of 1%. At investor level, additional costs may also be incurred (e. g. front-end load or custody fee charged by the financial intermediary).

### SECTOR COMPARISON



■ UBAM - SWISS SMALL AND MID CAP EQUITY

Source of data: UBP

**COUNTRY BREAKDOWN**


Switzerland	93.3 %	Italy	0.5 %
Austria	2.7 %	Other	3.1 %
Liechtenstein	0.5 %		

Source of data: UBP

**MAIN HOLDINGS**

Asset	Sector	Fund weight
STRAUMANN HOLDING REG	Health Care	6.2%
KUEHNE + NAGEL INTERNATIONAL AG	Industrials	6.0%
SONOVA HOLDING NAM-AKT	Health Care	5.0%
LOGITECH NAMEN AKT	Information Technology	5.0%
VAT GROUP SA	Industrials	3.9%
TECAN GROUP NAM.AKT	Health Care	3.0%
PARTNERS GROUP HLDG NAMEN AKT	Financials	3.0%
COMET HLDG REG SHS	Information Technology	2.9%
SIG COMBIBLOC GROUP AG	Materials	2.9%
GEORG FISCHER REG.	Industrials	2.8%

Source of data: UBP

**PORTFOLIO COMPOSITION MONTHLY EVOLUTION**

	August	July	June	May	April
Weight of the top ten holdings	40.59 %	41.53 %	41.91 %	40.68 %	38.60 %
Number of holdings	61	60	61	63	63
Caps > USD 5 billion	57.92 %	55.83 %	54.87 %	53.62 %	48.84 %
Caps USD 1.5-5 billion	32.90 %	35.38 %	35.50 %	35.68 %	39.44 %
Caps < USD 1.5 billion	9.18 %	8.79 %	9.63 %	10.70 %	11.72 %

Source of data: UBP

**ADMINISTRATION**
**Management Company**

UBP Asset Management (Europe) S.A., 287-289, route d'Arlon, L-1150 Luxembourg

**General distributor, Swiss representative and Swiss paying agent**

Union Bancaire Privée, UBP SA, 96-98 rue du Rhône, CH-1211 Geneva 1

**Administrative agent, registrar and transfer agent**

CACEIS Bank Luxembourg Branch, 5, allée Scheffer, L-2520 Luxembourg

**Custodian bank**

BNP Paribas Securities Services Luxembourg Branch 60 avenue J.F. Kennedy, L-1855 Luxembourg

**Auditor**

Deloitte Audit S.à.r.l, 20 Boulevard de Kockelscheuer, L-1821 Luxembourg

**Legal form**

UBAM is a Luxembourg SICAV (UCITS, Part I of the Luxembourg law of 17/12/2010)

**REGISTRATION AND DOCUMENTATION**
**Countries where Distribution is Authorised**

Depending on the country, certain share classes may or may not be registered for public distribution. The registered share classes are recorded in a Key Investor Information Document (KIID). Investors are invited to inform themselves about the registered share classes or to request copies of the relevant KIIDs from the fund's headquarters, the general distributor (Union Bancaire Privée, UBP SA, Geneva), or from the local representative for their country.

Registered Office	UBP Asset Management (Europe) S.A., 287-289, route d'Arlon, L-1150 Luxembourg
Representatives	
Belgium	Caceis Belgium Fund Administration Service & Technology Network Belgium, Avenue du Port 86 C, b320, B-1000 Bruxelles
Portugal	BEST - Banco Electronico de Serviço Total S.A., Praça Marquês de Pompal, no. 3 - 3º 1250 - 161 Lisboa
Singapore	Union Bancaire Privée, UBP SA, Singapore branch, Level 24, One Raffles Quay, South Tower, Singapore 048583
Spain	Allfunds Banks S.a., 57 Nuria, E-28034 Madrid UBP Gestion Institucional S.A., Avenida Diagonal 520 2º, 2a-B, E-08006 Barcelona
Sweden	Skandinaviska Enskilda Banken AB (PUBL) ("SEB"), 106 40 Stockholm
Switzerland	Union Bancaire Privée, UBP SA, 96-98 rue du Rhône, CH-1211 Genève 1
United Kingdom	Union Bancaire Privée, 26 St James's Square, London SW1Y 4JH
OTHER COUNTRIES	Countries where distribution is authorised : Finland, Netherlands

**GLOSSARY**
**Benchmark**

Index used as basis for measuring the performance of an investment fund. Also called reference index or comparison index.

**Derivatives**

Derivatives are financial instruments whose prices depend on the price movements in a reference variable, known as the underlying. Underlying assets may be shares, equity indices, government bonds, currencies, interest rates, commodities like wheat and gold, or

also swaps. Derivative financial instruments may be unconditional forward transactions or they may be options. They are traded either on futures and options exchanges on standardised terms, or over-the-counter (OTC) on freely negotiated terms. Changes in the price of the underlying lead in certain situations to considerably higher price fluctuations in the derivative. Derivatives can be used to hedge against financial risks, to speculate on price changes (trading) or to take advantage of price differences between markets (arbitrage).

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Source of data: UBP