

## LEGAL INFORMATION SHEET

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You have chosen, or are about to entrust your advisory mission to, a regulated and supervised professional. Please keep the following information in mind:

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### COMPANY PRESENTATION

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BROCHE CAPITAL ADVISORS, a single-member limited liability company (SARL unipersonnelle) with share capital of €50,000.00, registered with the Nanterre Trade and Companies Register (RCS) under number 493 533 376, with its registered office at 15 bis rue Georges Bizet, 75116 Paris, NAF/APE code 7022Z, is a wealth management advisory firm managed by Mr. Jean-François Broche.

Company contact details:

#### **BROCHE CAPITAL ADVISORS**

27 rue du clos des Ermites

92150 Suresnes

06 85 70 51 34

[www.bcadvisors.fr](http://www.bcadvisors.fr)

The information collected on this form is stored in a computerised file by Jean-François BROCHE for the purpose of providing you with advice. It is retained for 5 years and is intended for the formalisation of personalised advice.

In accordance with the French Data Protection Act ("loi informatique et libertés"), you may exercise your rights of access, objection, erasure, restriction of processing, and data portability, and have your data rectified by contacting: [jfbroche@bcadvisors.fr](mailto:jfbroche@bcadvisors.fr).

You may also lodge a complaint regarding the processing of your data with the CNIL (French Data Protection Authority).

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### LEGAL STATUS

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BROCHE CAPITAL ADVISORS is registered with the Unique Register of Insurance, Banking and Finance Intermediaries (ORIAS) under number 07037176 (you may verify this registration at <https://www.orias.fr/welcome>) for the following activities.

#### **Financial investment advisory (CIF)**

BROCHE CAPITAL ADVISORS may provide non-independent financial investment advice within the meaning of Article 325-5 of the RGAMF.

Member of the Association Nationale Des Conseils Financiers-CIF (ANACOFI-CIF) (No. E001107), an association approved by the Autorité des Marchés Financiers (AMF), postal address: 17 Place de la Bourse, 75082 Paris cedex 02, website: [www.amf-france.org](http://www.amf-france.org).

This activity is subject to supervision by the AMF.

BROCHE CAPITAL ADVISORS is independent in terms of its capital structure. It aims to meet its clients' needs by providing tailored solutions based on the open architecture principle, selecting products from various partners — according to our internal processes — without any exclusive relationship or capital ties.

In this context, advice is based on a restricted analysis of financial instruments issued by entities with which BROCHE CAPITAL ADVISORS maintains commercial relationships, without analysing the entire market offering. Remuneration

is based on the receipt of retrocessions from our partners.

### Insurance intermediation

Insurance and reinsurance broker (COA), "category b". Under this service, recommendations are provided on the basis of appropriate advice (level 1 of advice as defined by regulation).

BROCHE CAPITAL ADVISORS, acting on behalf of and for the Client, is responsible for identifying the insurer and the insurance contract(s) that match your needs and objectives, and for acting as intermediary between the client and the insurer in the context of advice and subscription.

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## SUPERVISORY AUTHORITIES

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### For IAS activity:

ACPR  
Autorité de Contrôle Prudentiel et de Résolution  
4 Place de Budapest  
CS 92459  
75436 Paris

### For CIF activity:

AMF  
Autorité des Marchés Financiers  
17 Place de la Bourse  
75082 PARIS Cedex 02

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## PROFESSIONAL LIABILITY INSURANCE

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Your adviser or intermediary (whether a member of ANACOFI and/or ANACOFI-CIF) holds, in accordance with the law and the codes of conduct of ANACOFI and ANACOFI-CIF, Professional Liability Insurance and sufficient Financial Guarantees covering their various activities. These coverages comply in particular with the requirements of the Monetary and Financial Code and the Insurance Code.

Subscribed with: MMA IARD Assurances Mutuelles, registered office at 160 rue Henri Champion, 72030 Le Mans Cedex 9.

Policy number: 150055781

	CIF	IAS
<b>Professional Liability</b>	€2.5M per claim and per year	€3M per claim and per year
<b>Financial Guarantee</b>	Not applicable	€115,000

Your adviser (or intermediary) has committed to fully complying with the ANACOFI-CIF Code of Good Conduct, available at the association's registered office or at [www.anacofi.asso.fr](http://www.anacofi.asso.fr) or <https://www.anacofi-cif.fr/>.

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## PARTNERS AND SUPPLIERS

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Name	Nature	Type of Agreement	Remuneration
CNP Luxembourg	Insurer	Brokerage & distribution agreement	Commission
Generali Patrimoine	Insurer	Brokerage agreement	Commission
Nortia	CIF & insurance platform	Brokerage & distribution agreement	Commission
Eres	Employee savings	Partnership agreement	Commission

Swisslife	Insurer	Brokerage agreement	Commission
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No partner company or supplier holds any share in the capital of BROCHE CAPITAL ADVISORS. The names of other companies with which a partnership agreement may be established will be communicated upon request.

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## FEES AND BILLING METHODS

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### Billing and remuneration for CIF activity

Depending on the nature of the mission entrusted, BROCHE CAPITAL ADVISORS may charge advisory fees of €250 excl. VAT per hour (i.e. €300 incl. VAT per hour). The estimated amount will be communicated to clients before any study is carried out. The engagement letter signed between the parties will definitively confirm the amount of fees charged to the client.

Furthermore, in the case of an intermediation act, non-independent financial investment advice, or a savings or investment solution, BROCHE CAPITAL ADVISORS will be remunerated by a portion of the fees initially charged by the product promoter and/or interposed intermediaries.

### Billing and remuneration for insurance brokerage

In the case of an insurance brokerage act, BROCHE CAPITAL ADVISORS will be remunerated by a portion of the entry fees and arbitration fees initially charged by the partner insurance company.

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## MEANS OF COMMUNICATION

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BROCHE CAPITAL ADVISORS may contact you by telephone, email, post, video conference, or by arranging face-to-face meetings.

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## COMPLAINTS HANDLING POLICY

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In the event of a complaint or dispute, BROCHE CAPITAL ADVISORS and its client undertake to seek an amicable resolution in accordance with the procedure detailed below. Any complaint may be submitted free of charge:

- By post, addressed to the manager: 27 rue du clos des Ermites, 92150 Suresnes.
- By email: [jfbroche@bcadvisors.fr](mailto:jfbroche@bcadvisors.fr)
- By phone: 06 85 70 51 34

BROCHE CAPITAL ADVISORS undertakes to handle your complaint within the following timeframes:

- A maximum of ten business days from the submission of the complaint to acknowledge receipt, unless the response itself is provided to the client within that period;
- A maximum of two months between the date the complaint is submitted and the date the response is sent to the client.

If the response to the complaint does not satisfy the client, the client may then refer the matter to the relevant Mediator:

<b>For IAS activity:</b>	<b>For CIF activity (individuals):</b>	<b>For CIF activity (companies):</b>
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La médiation de l'Assurance TSA 50110 75441 Paris Cedex 09 www.mediation-assurance.org	AMF Mediator Mr. Rémi Bouchez 17, place de la Bourse 75082 Paris cedex 02 www.amf-france.org/fr/le-mediateur	ANACOFI Mediator 92 rue d'Amsterdam 75009 Paris
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## PERSONAL DATA PROCESSING POLICY

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The personal data you provide to us in the context of our Wealth Management Advisory activity and the services we offer are collected and processed by BROCHE CAPITAL ADVISORS as data controller.

BROCHE CAPITAL ADVISORS undertakes to collect and process data only for the agreed processing purposes (consent, contractual necessity, compliance with a legal obligation) between BROCHE CAPITAL ADVISORS and its client, to preserve its security and integrity, and to disclose such information only to third parties to whom it is necessary to transmit it for the proper execution of the missions entrusted.

The data collected concerning you and your relatives will be retained for the duration of our contractual relationship and subsequently archived for a period of five (5) years, unless shorter or longer periods are specifically provided for, in particular in the event of a dispute.

You have rights of access, rectification, restriction, objection, and portability over this data in accordance with the law. To exercise these rights, please contact us by post or email ([jfbroche@bcadvisors.fr](mailto:jfbroche@bcadvisors.fr)).

You also have the right to lodge a complaint with the CNIL (Commission Nationale de l'Information et des Libertés).

Issued on: 12/05/2026

Client signature (Mr./Ms.): \_\_\_\_\_