

Regulatory

Registrations / licences (AFM, DNB, DSI, Kifid)

Noesis B.V. is included in the official registers of the Financial Markets Authority (AFM), the Dutch Securities Institute (DSI) and the independent Financial Services Complaints Institute (Kifid).

Noesis B.V. has a license from the AFM as an investment firm and is authorized to provide the following investment services:

1. Receive and transmit orders on behalf of clients
2. Act as asset manager
3. Act as investment adviser

The AFM is primarily concerned with the supervision of conduct in the financial markets in the Netherlands.

In addition, Noesis B.V. is under financial supervision by De Nederlandsche Bank (DNB). The DSI is an institution that promotes the quality and integrity of individuals working in the financial sector.

Eligible employees have a registration with the DSI.

Consumers can go to the Kifid if they have a complaint about financial services.

The Kifid handles the complaint in an independent and impartial manner.

Controlled remuneration policy

Noesis B.V. has formulated and implemented a controlled remuneration policy to ensure that remuneration does not:

- Excessive risks are taken that could affect the financial soundness of the company.
- Clients carelessly treated by perverse reward incentives.

The persons employed by the company have periodic fixed remuneration, which is independent of the fees agreed with clients. As a result, the risk of careless treatment of clients is low.

As sustainability risks are not explicitly integrated into the investment decision process, the current remuneration policy of Noesis B.V. is in line with this.

The persons working at the company naturally ensure that the investment policy (including the handling of ESG criteria) is carefully propagated and implemented.

Noesis B.V. meets the legal requirements with its remuneration policy.

Capital adequacy

Noesis B.V. prepares annual financial statements audited by the external auditor.

The equity is sufficient to meet the prudential capital requirements of DNB on an ongoing basis.

The company has adequate risk management measures in place to ensure its financial soundness.

These include credit and counterparty risks, market risks, concentration risks, liquidity risks, interest rate risks as well as various operational, strategic and integrity risks.

Investment Policy

An important part of an investment firm's service involves its investment policy.

By asking questions about the investment policy you will get a good idea of the investment policy of an investment firm.

This will enable you to decide whether this policy suits you. After all, not all investment policies are the same.

You will be informed in detail about the investment policy in the investment proposal that forms part of the introductory process.

Also read: [What questions do you ask about investment policy?](#)

Order Execution Policy

The order execution policy is part of the rules of conduct that state that investment firms deal with clients in a loyal, fair and professional manner and are committed to their interests. In the order execution policy, Noesis indicates how it uses order executing institutions (custodian banks) to execute orders in (listed) financial instruments.

To read more about the Order Execution Policy: <https://noesis-capital.nl/wp-content/uploads/2023/01/Order-Executing-Policy-Noesis-.pdf>