

FINMA application support

Your partner to master the way right to the top



The application process to obtain a licence as an asset manager looks daunting at the beginning. What are the detailed requirements, is our internal organisation appropriate, who will be preparing all required documents, and when are they good enough?

Your challenges

Our support to become fully licensed involves a careful assessment of your organisation, the strategic objectives and where you would like to go with your business. Based on our full and comprehensive understanding of your strategy we will support you in the definition of a target operating model which will satisfy all regulatory requirements and expectations of the target investor group you are approaching.

The target operating model may include additional modules from the Assetbox, or it can be flexibly combined with existing or preferred external suppliers.

Once the target operating model is finalised, we will produce or update all relevant internal documents such as organisational policies, guidelines and procedures. As soon as the organisational details have been finalised, we will draft the application to the FINMA based on the official guidelines available.

During the process, but especially at the outset and once the application is finalised, we will be in touch with FINMA and coordinate that the application will be known and processed in accordance with our expected timeline. We will support you during the cooperation with the application auditor, including selection, coordination of the work and providing them with the relevant documentation and information.

An asset manager license – the key to survival

If the FINMA have additional questions or requests upon submission of the application, we will take care of all communication and further requests until the licence is granted.

Leveraging our FINMA application support

Our services

- Support in target operating model definition.
- Set up the operating model including all relevant documents, policies, procedures, contracts, guidelines and checklists.
- Prepare your licence application.
- Select and work together with the application auditor to produce the application audit report.
- Coordination and communication with FINMA.
- Take care of any follow up request from FINMA.

Our distinctive features

- **Unique combination of operational, organisational and regulatory experience** – Covering all relevant areas of an application therefore ensuring a complete and comprehensive application document.
- **Experience of many applications already prepared** – Leverage from numerous applications we have prepared, processed and audited, giving you the insights and support you need to make sure your application will be successful.
- **Contact with FINMA** – Due to our previous experience the regulator has already gained experience with our approach and will recognize Assetbox content as a familiar product.
- **Industry standard** – Our processes and documents are based on accepted industry standards therefore giving your organisation a certain credibility towards external parties.
- **Unique team composition** – Your team will consist of legal, regulatory, audit, investment management, operational and risk management specialists which is a unique combination available in the market.

Contacts



Marcel Meyer
Deloitte AG
Partner, FSI Investment
Management
Tel: +41 58 279 73 56
Mob: +41 79 310 32 37
marcelmeyer@deloitte.ch



Alexander Kosovan
Deloitte AG
Manager, FSI Investment
Management
Tel: +41 58 279 63 69
Mob: +41 79 961 22 17
akosovan@deloitte.ch



Michael Appenzeller
Etops AG
Managing Director
Tel: +41 55 417 57 57
Mob: +41 79 276 71 61
m.appenzeller@etops.ch



Pius Stucki
Etops AG
Managing Director
Tel: +41 55 417 57 57
Mob: +41 76 428 11 92
p.stucki@etops.ch

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