

Regulatory, Compliance and Legal Services

We provide the following services in relation to Financial Institutions

Financial Services



- We advise Swiss and foreign financial intermediaries such as banks, insurance companies, securities traders, fund management companies, broker dealers, asset managers and family offices in all aspects of Swiss and foreign regulatory matters as well as banking and other financial market laws.
- We support financial intermediaries in their application process for a license from the Swiss Federal Market Supervisory Authority FINMA.
- We advise financial intermediaries on all aspects of capital transactions, regulatory due diligences and assets and share deals.
- We provide assistance in compliance reviews, risk assessments, gap-analyses, health checks and internal investigations. In this regard, we are regularly engaged and appointed by FINMA to act as agents in enforcement proceedings and other prudential matters.
- Our legal and regulatory services include support in areas such as Swiss and European (and other foreign) market conduct and behaviour rules, corporate and key information documents as well as disclosure requirements.
- In the area of investment law, we provide advice on the structuring, licensing and distribution of Swiss and foreign collective investment schemes. Our services include traditional mutual funds, hedge funds, private equity funds and real estate funds.

Outsourcing/Data protection/IT/IP



- We advise financial intermediaries and corporate clients on banking and business secrecy as well as data protection requirements.
- We support financial intermediaries and corporate clients in setting up outsourcing procedures, drafting and negotiating licensing, IT outsourcing, technology and general service legal agreements.
- We provide support in complying with intellectual property and IT related regulations.

Corporate/Commercial



- Our services include all aspects of corporate law, legal and regulatory due diligence, mergers & acquisitions, private equity investments, joint-ventures and corporate divestments.
- We provide support on the entire range of commercial activities and all matters relating to contract law.
- We assist in the structuring, establishment and support of privately held and international companies, branches and representative offices through all stages of the life cycle.
- We advise on the establishment and structuring of new business operations in- and outside of Switzerland.
- We advise financial intermediaries and corporate clients in corporate governance related issues, shareholders' agreements, and corporate responsibility topics.

Restructuring/Insolvency



- We advise financial intermediaries and corporate clients in reorganising their corporate structure and in transactions (buy and sell side as well as asset and share deals).
- We have profound expertise in insolvency related matters such as insolvency proceedings, liquidations, restructurings and other transactions.
- We advise financial intermediaries and corporate clients in liquidation projects and provide support in the entire liquidation process incl. winding down the business activities and returning (FINMA) licenses.
- We act as liquidators in liquidation and insolvency proceedings.

Key Strengths



- We are a team of committed attorneys and lawyers with profound legal and business knowledge as well as practical and managerial in-house experience.
- We serve our clients in the most efficient way and focus on concrete solutions in the clients' interest.
- Our multidisciplinary approach allows us to draw on the expertise of dedicated specialists of other service lines such as corporate finance, audit, tax, and consulting.
- With our international footprint we have access to the broad Deloitte network of dedicated professionals globally.

Regulatory, Compliance & Legal – FSI



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