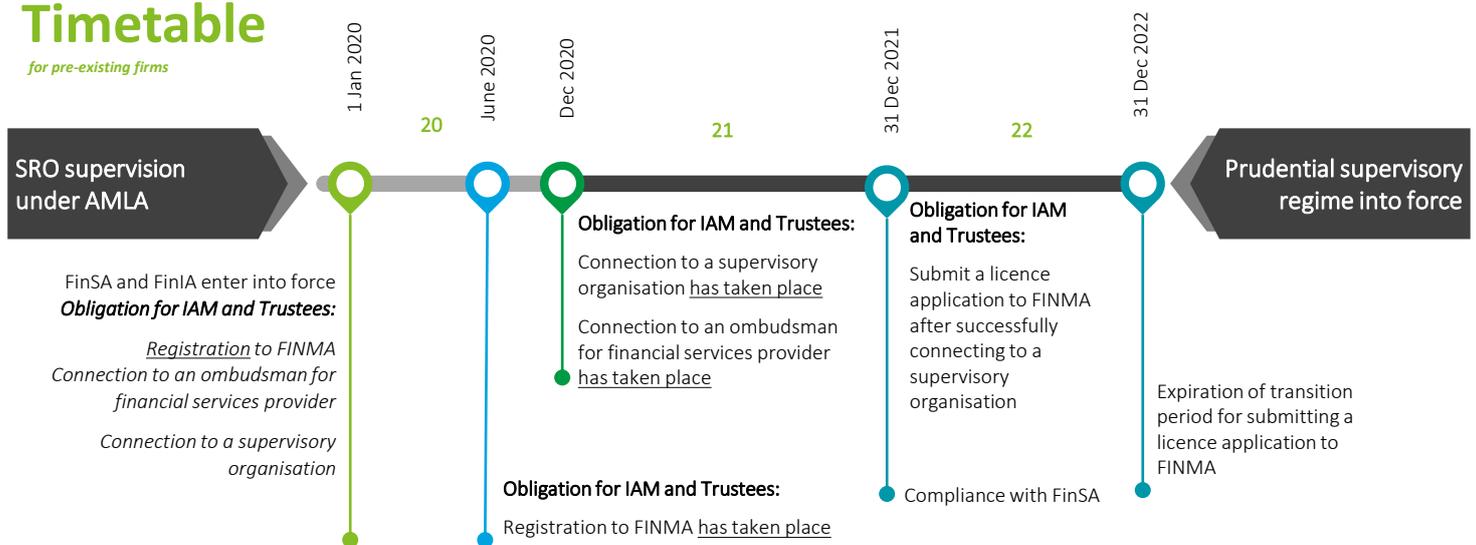


Our service for Independent Asset Managers and Trustees to comply with FinIA and FinSA

The Financial Institutions Act (FinIA) and the Financial Services Act (FinSA) entered into force on 1 January 2020. Independent Asset Managers (IAMs) and Trustees become subject to FINMA licensing for the first time.

Timetable

for pre-existing firms



Challenges

Area	New requirements
Licensing	Minimum capital paid in cash and other collateral requirements Management bodies to have at least 2 qualified individuals Appropriate Risk Management function and internal control system to be set up
FinSA Implementation	Customer segmentation, assessment of appropriateness and suitability, duty of care for customers and best execution principle, conflict of interest management
Audit	Auditor to be approved by the Supervisory Organisation

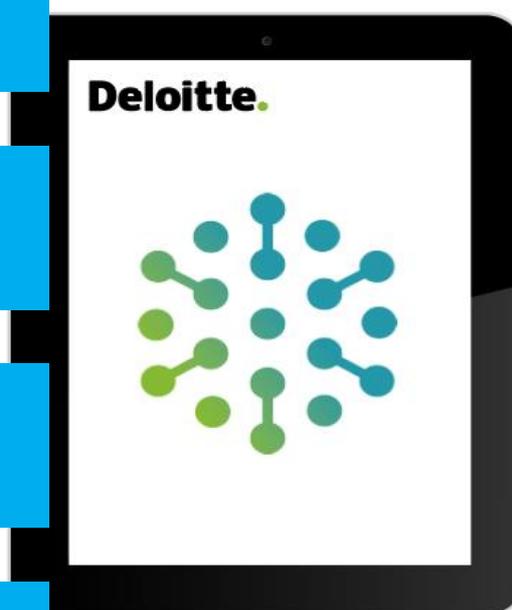
Mastering compliance in an efficient and cost effective way

We offer a **unique** and **comprehensive combination of services** that allows asset managers to focus entirely on their clients and the management of their assets.

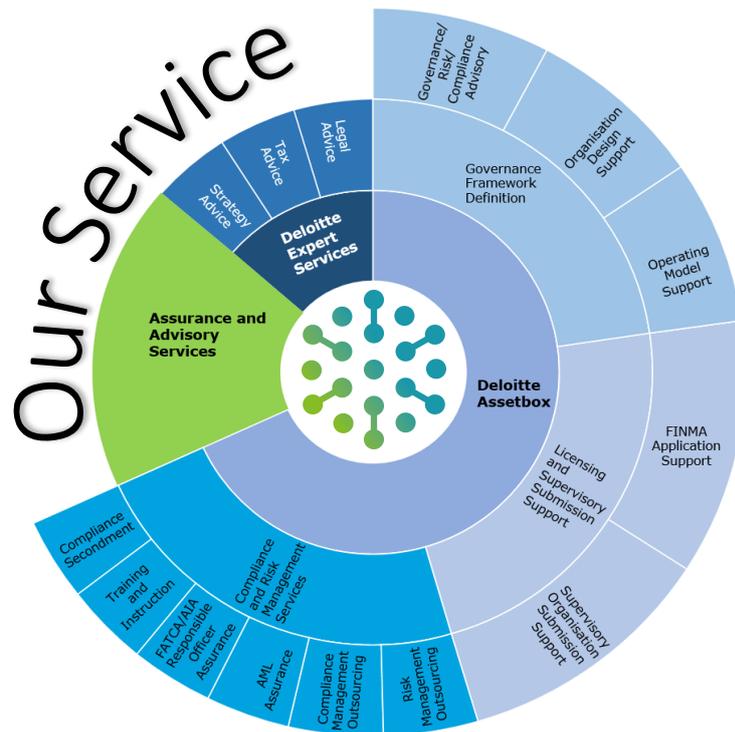
We have a **long track-record** of successfully supporting IAMs and Trustees with a **team highly experienced** in compliance and risk management.

Advantages for you

- 1** **Performance**
Maintain your specialty and focus on improving the performance of your client portfolios
- 2** **Cost control**
Calculate cleverly and use a reliable service at a reasonable price
- 3** **Professionalism**
Let experienced subject matter experts work for you according to proven industry standards
- 4** **Security**
Reporting and documentation ensure legal conformity and audit security



Our offering



1. Implement

- **Licence lab:** for only CHF 750, a workshop for you to understand concretely the impact of the new regulation and next steps to implement
- **Tool box for FINMA filing:** you will get professional assistance for your filing with FINMA, including support on organisational setup and a ready for use set of internal directives to adapt to your organisation
- **Support on demand:** A modular subscription to answer your queries, with a system of pre-paid vouchers, giving you unique access to our team of specialists; training solution available for your team

2. Manage risk

- **Risk and/or compliance officers:** comprehensive outsourcing services to comply and leverage on the experience and knowledge of our teams as partner of your organisation

3. Supervise

- **Audit:** our auditors are accredited by FINMA for the audit of asset managers. You get a pragmatic and added value service for a fair price

Please contact us for more information



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