

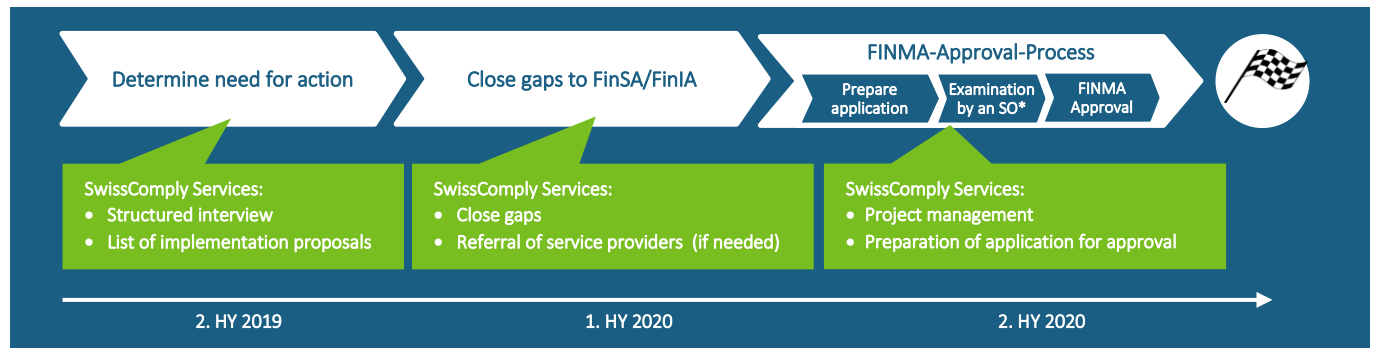
FINSA-/FINIA SERVICES FOR INDEPENDENT ASSET MANAGERS AND TRUSTEES

Where do we stand today?

With the Financial Services Act (FinSA) and the Financial Institutions Act (FinIA), the last two building blocks of the modernised swiss financial market law will enter into force in 2020. The FinSA creates uniform conditions for all financial service providers operating in Switzerland, in that - regardless of the type of financial institution (banks, portfolio managers, investment advisors) - all client advisors must comply with the same law. The FinIA introduces a differentiated supervisory regime for portfolio managers, managers of collective assets, fund management companies and securities firms. For portfolio managers (independent asset managers) and trustees in particular, the FinIA entails various challenges in the areas of compliance, risk management, equity capital, corporate governance etc. in the future.

Partnering with SwissComply - three easy steps to the FINMA approval

The implementation of the supervisory requirements of the FinIA leads to an initial FINMA-Approval. In order to keep the time and monetary burden within this process for you as low as possible, we use our many years of experience to support you in this implementation process. Our holistic and modular approach not only ensures a solution that conforms to all licensing requirements and is suitable for practical use, but also provides you with the freedom to concentrate on your day-to-day business during this process.



Where is action needed?

We determine your individual need for action based on an interview along 5 thematic blocks and 20 homogeneous fields of action. As a result of the analysis, we provide you with a summary of the gaps including our concrete recommendations for implementation.



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