

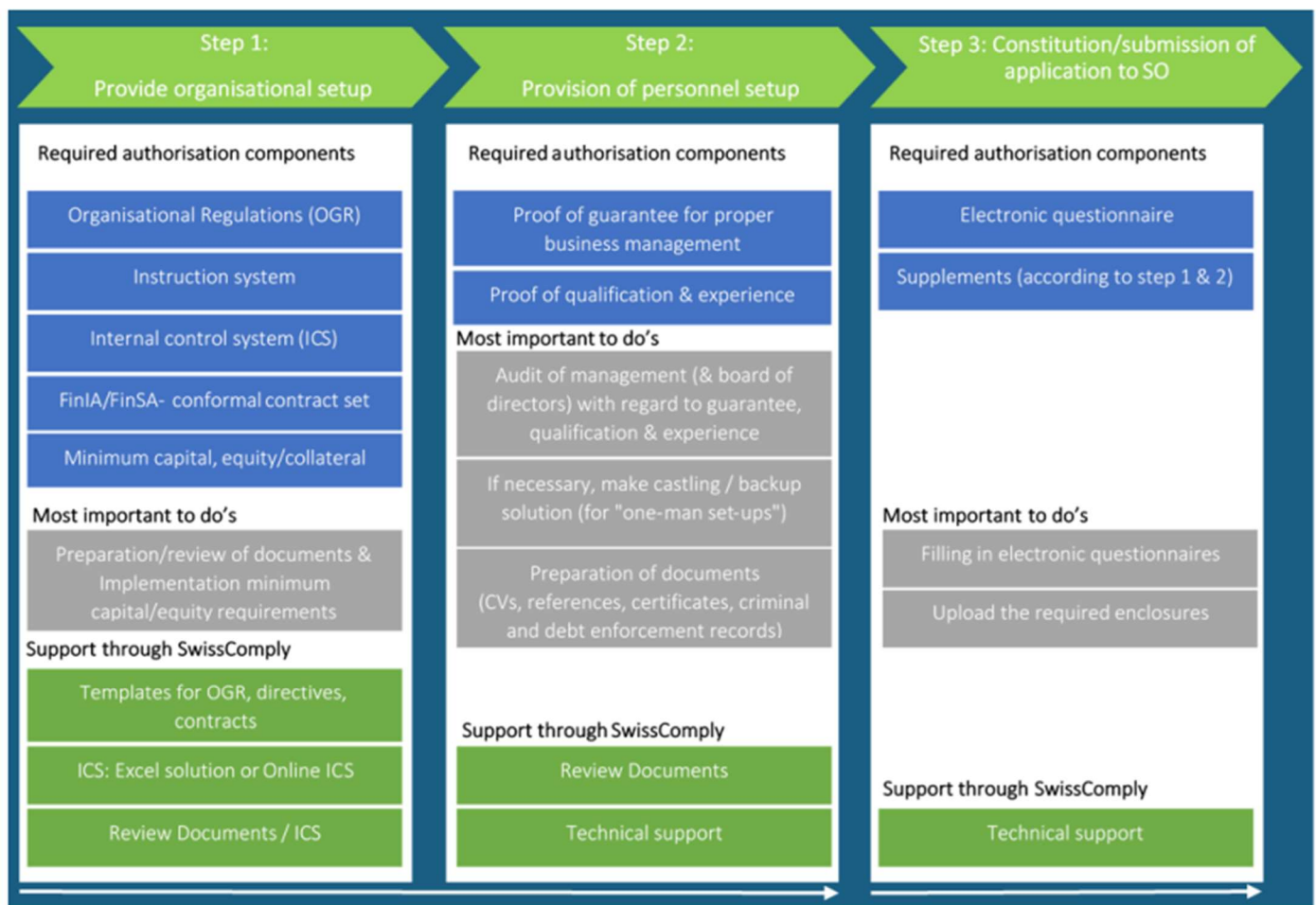
## FINIA APPROVAL SUPPORT FOR ASSET MANAGERS & TRUSTEES

### Plan your approval process

SwissComply has many years of experience in the area of licences for independent asset managers and managers of collective assets and is very well networked with the supervisory authorities. We would also be happy to put our know-how to work for you to ensure an efficient and pragmatic licensing process for "asset manager" (in accordance with FinIA Art. 17 Para. 1) or "trustee" (in accordance with Art. 17 Para. 2).

### The most important components for FINIA authorisation

By implementing the following steps, you will prepare yourself for FINMA authorisation as an "asset manager". First and foremost, you need to put your organisational set-up into a form suitable for authorisation. This requires the preparation/revision of a number of documents. Absolutely indispensable for a FINMA licence is the adequate set-up of the management (and, if applicable, the board of directors and qualified participants). Persons with key functions in your company must essentially offer a guarantee of impeccable management and have the necessary qualifications and experience. If steps 1 and 2 are fulfilled, you can prepare the application (incl. enclosures) and submit it to the supervisory organization (SO) via the electronic survey platform.



## Details on support in step 1: Provision of organisational setup

Required authorisation components	Support through SwissComply	Costs
Organisational Regulations (OGR)	Variant 1: Template for organisational regulations	CHF 1'500 (available in German and English)
	Variant 2: Review of the existing organisational regulations	at cost (CHF 300.- per hour)
Note: The template of the organisational regulations of SwissComply comprises 8 pages with yellow marked places for individualisation.		
Instruction system	Templates for the following directives: <ul style="list-style-type: none"> <li>• Money Laundering (required)</li> <li>• FIDLEG duties of conduct (required)</li> <li>• Compliance (required)</li> <li>• Risk Management/ICS (required)</li> <li>• Cross Border Activities (may be required)</li> <li>• Asset Management (may be required)</li> <li>• Offering of financial instruments (may be required)</li> <li>• Information Technology &amp; BCM (may be required)</li> </ul>	CHF 1'500 per instruction (available in German and English)
Note: The templates of the directives each comprise between 5 - 15 pages with yellow marked areas for individualisation. Depending on the size and complexity of the company, it is recommended to regulate specific topics in separate directives.		
Internal control system	Implementation of the online ICS from SwissComply	Costs for implementation & training: CHF 1'250 Annual costs for use and updates: from CHF 6'200 (available in German and English)
Note on variant 2: The price includes 5 user licences, the annual adaptation of the ICS to current regulatory developments and the maintenance/further development of the online ICS. You can find more details in the factsheet "Online ICS". A live demo of the ICS is possible at any time.		
FINIA/FINSA-compliant contract set	Variant 1: Template for a FinSA/FinIA-compliant contract set (asset management & investment advice)	CHF 1'500 per contract template (available in German, English and Spanish)
	Variant 2: Review of the existing set of contracts with regard to FIDLEG/FINIG (and further regulatory themes)	at cost (CHF 300.- per hour)
Note: The template of the asset management and investment advisory contract (incl. risk profile/investment strategy) from SwissComply comprises approx. 15 pages with yellow-marked passages for individualisation.		

## Support in steps 2 (provision of personnel setup) & 3 (constitution & submission of application)

For technical support, review of documents and assistance with the submission of the application, etc., we will be happy to support you at cost (CHF 300 per hour), based on a prior estimate of the workload on the part of SwissComply.

## Discount for a cooperation in the area of Outsourcing Compliance & Risk Management

If cooperation with SwissComply in the area of Outsourcing Compliance & Risk Management takes place before or after FINMA approval, we will be happy to take this into account in the offer for the approval components.

## Your contacts

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