

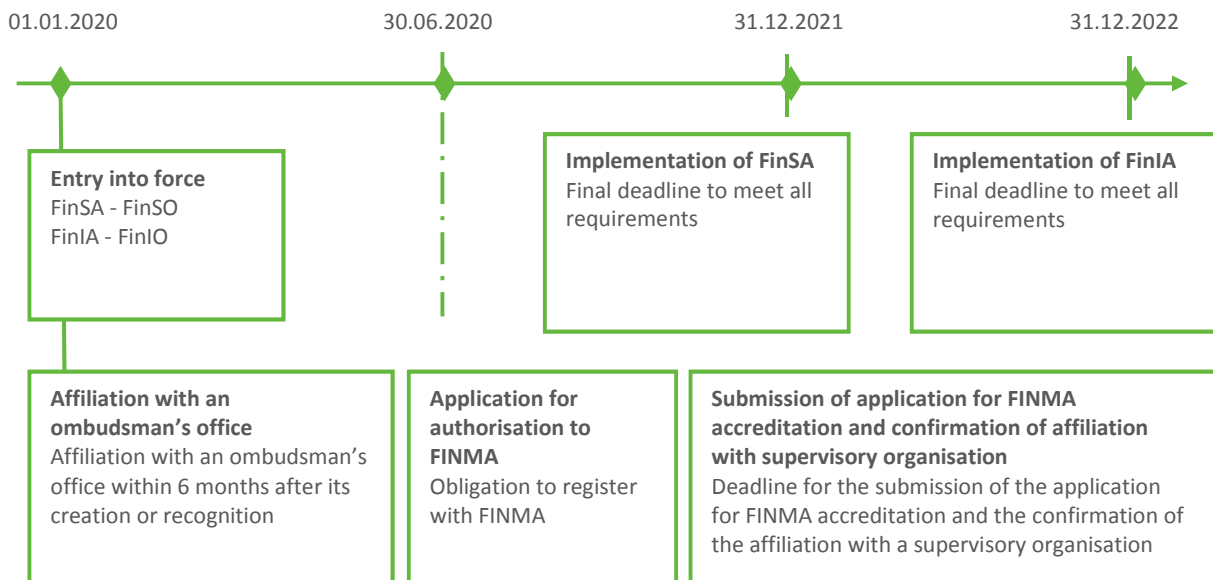
Financial Services Act and Financial Institutions Act: are you ready?

Ladies and Gentlemen,

The Financial Services Act (FinSA) and the Financial Institutions Act (FinIA) and its associated ordinances (FinSO and FinIO) became effective **on January 1, 2020**.

The entry into force of these new requirements has a significant impact on the asset managers' structure, organisation, training, internal controls, internal directives and regulations, and the fact of having to meet new deadlines requires an appropriate planning and preparation.

Key dates for asset managers



How can we help you?

Thanks to our experts' experience, we are able to support you in the following matters:

Regulations and internal directives	<ul style="list-style-type: none"> - Analysis of existing internal directives and regulations and assessment of compliance with the new requirements; - Support for preparing/updating internal documentation (directives, regulations, asset management mandate, client profile, risk profile etc.)
Organisation and internal processes	<ul style="list-style-type: none"> - Appropriateness check of the organisation and the internal processes with regard to the new requirements and Best Practice and identification of gaps; - Proposals for improvement and support for the implementation of the measures with regard to the internal organisation and/or the updating of the internal processes
Training	<ul style="list-style-type: none"> - Appropriateness check of the employee training; - Organisation of trainings
Application for accreditation	<ul style="list-style-type: none"> - Support for the preparation and creation of the application for accreditation to the FINMA
Risk control and Internal Control System	<ul style="list-style-type: none"> - Appropriateness check of the risk management and the internal control with regard to the new requirements; - Provision of risk control and internal control services under an outsourcing-agreement; - Complete and efficient service solution (CRM, AML, asset management and risk control software)
Audit	<ul style="list-style-type: none"> - Regulatory audit according to FINMA rules; - Limited or ordinary audit of the annual accounts

Please do not hesitate to contact us; we are pleased to answer your questions relating to the new legal requirements.