

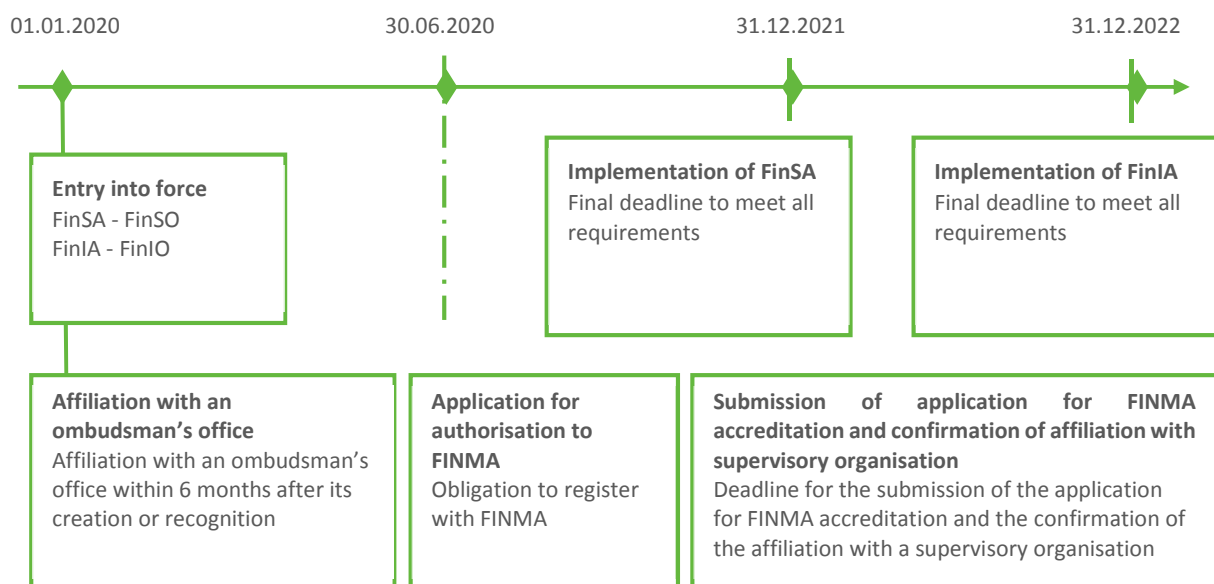
## Financial Services Act and Financial Institutions Act: are you ready?

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:

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

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

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