

Education and training Compliance

Are you looking for a suitable partner for your compliance education and training? You already have an established compliance training concept, but would like to train your employees on selected regulatory topics in cooperation with proven experts?

We offer you the planning, organisation and implementation of individual training events tailored to your company for yourself and your employees.



Based on the MLA, most financial service providers have been subject to regulatory training obligations for many years. Education and training in the area of compliance is becoming increasingly important. Since the entry into force of the FinSA and FinIA on 1 January 2020, asset managers and trustees in particular have been confronted with new regulatory challenges. These include, among other things, the proof of appropriate training and further education of the managing directors and compliance officers, but also of the

employees. As experienced specialists in the area of financial market law, we advise banks, investment firms and fund management companies or we accompany asset managers or other financial service providers in the license procedure, as an external compliance specialist or carry out supervisory controls and audits. We know the regulatory hot spots from years of practical experience and know where the focus must be placed.

Training concept

Our training events are typically designed as face-to-face in-house workshops. For asset managers and trustees, we offer comprehensive training in accordance with the training requirements of the supervisory organisations (AO). This includes the following areas in particular:

- Corporate Governance, Compliance, Risk Management, ICS
- Anti-Money Laundering Act (AMLA)
- Sanctions / Embargo
- Financial services (FIDLEG rules of conduct)
- Offer of financial instruments (FIDLEG)
- Financial Institutions Act (FINIG)
- Market conduct rules / dealing with conflicts of interest
- Data protection (DSG)
- Sustainable Finance/ESG
- Risks in cross-border business (cross-border)

As these are customised events for you and your company, we are happy to take into account specific wishes regarding

the content or the exact design and duration of the training. In particular, the workshop can be divided into several sessions for different employees. An important part of each workshop is also to address questions and challenges from your practice in order to be able to support you where you need it and where any uncertainties exist.

At the end of the event, a certificate of attendance is issued for each participant so that the training and further education can be documented and proven to the auditing company and supervisory authority.

Costs

As a matter of principle, we do not charge a fee that depends on the number of participants in your company but offer our training as a complete package to all employees who are to participate in the training according to your specific requirements. Contact us for a non-binding offer.

Overview of our services

Our service	Target group	Duration	Contents	Costs
Comprehensive training	Asset managers and managers of collective assets	½ day +	FIDLEG, FINIG, AMLA and other topics by arrangement	Fixed fee by individual agreement
Specific training for individual areas	Banks, securities firms, asset managers, asset management institutions, other financial intermediaries	By agreement	By agreement	Fixed fee by individual agreement

Have we aroused your interest? Do not hesitate and contact us. We look forward to carrying out your individual training with you!

Contacts



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