

Regulatory services for asset managers

Would you like to start doing business as an independent asset manager or as an asset manager of collective assets and need support in the FINMA authorisation process? Furthermore, do you want certainty in the implementation of the new compliance and risk management requirements?

We support you in the licensing process and, if required, provide you with qualified staff who perform the function of Compliance & Risk Officer with qualified deputisation.



Since the entry into force of the FinSA and the FinIA, asset managers and trustees in particular have been confronted with new regulatory challenges. In order to obtain a FINMA licence, asset managers of collective assets and independent asset managers must meet various licensing requirements

under the law. We also support you in implementing the new licensing requirements, in addition to assisting you in the licensing procedure with FINMA.

FINMA authorisation procedure

Kick-Off	Preparation of documents / workshops	Drafting and submitting the application	Exchange with SO/FINMA	FINMA ruling / final discussion
<ul style="list-style-type: none"> • Launch of the project and creation of a To Do list; • Discuss corporate governance with regard to compliance. 	<ul style="list-style-type: none"> • Instruction system • Business plan with budget and equity calculation • Statutes/Regulations/Directives/Organisational Chart • ICS and risk matrix • Contracts, forms, checklists, etc. 	<ul style="list-style-type: none"> • Support in drafting and submitting as well as reviewing the licence application with all enclosure 	<ul style="list-style-type: none"> • Support in exchanges and meetings with the SO and FINMA 	<ul style="list-style-type: none"> • Support in the submission of all required documents in accordance with the FINMA order

Outsourcing Risk and Compliance

After receiving FINMA authorisation, questions often arise regarding the implementation of the new directives as well as risk and compliance tasks. We can provide you with competent support in these matters. Our services cover the following topics:

1. Compliance / AML

We provide you with competent risk and compliance officers, including deputies, who ensure that your business activities comply with the applicable laws and regulations.

2. ICS / Risk Management

With the introduction of FINIA, the obligation to maintain an ICS and risk management was extended to all prudentially supervised financial service providers. After receiving FINMA authorisation, questions often arise regarding the implementation of such a matrix. We will be happy to advise you on these issues. In addition, as risk managers in outsourcing relationships, we carry out selected controls in your institution and show you possibilities for improvement.

3. Procedures, tools, work equipment and templates

We provide you with simple and proven solutions for all your day-to-day compliance requirements. Our compliance templates include contract sets, instruction sets, business plans, an ICS and risk framework or AML forms that comply with the latest regulatory requirements and industry standards.

4. Staff training

Our training courses for your employees are tailored to your needs and cover the regulatory topics required by law and directives.

5. Regulatory monitoring

We keep you up to date on the regulatory developments that are relevant to you.

The services listed can be purchased as a complete package or individually on a modular basis - depending on your needs and specific requirements. Do not hesitate and contact us to put together your individual service package.

Contact



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