

Digital Wealth Management Platform

Unlock the true value of
wealth management

Compliance

- Preparation and update of internal regulations and policies
- Take-over the function of AML competence center
- Compliance controls (e.g. cross-border, distribution, code of conduct, employee transactions)
- Trainings (e.g. AML, cross-border, internal control system, distribution)
- Preparation of a distribution process incl. disclaimer
- Preparation and submission of change requests as well as notifications to FINMA

Investment compliance

- Pre trade and post trade controls
- Asset allocation controls

Risk management

- Maintenance of the internal control system
- Ensure the implementation and documentation of the internal control system
- Support the implementation of internal monitoring processes
- Preparation of the framework for the annual risk assessment by the board of directors
- Support the management to implement risk assessments regarding market conduct rules and AML

You get your own
personal Compliance
Officer and Risk
Manager.

Compliance & Risk Management



For asset managers subject to supervision by FINMA
(CISA asset managers)

Legal

- Reviewing contracts
- Drafting or customizing of standard contracts for specific needs
- Drafting of sector-specific standard contracts
- Maintaining the register of complaints
- Support in the handling of legal cases

Sparring partner

- Regulatory changes
- Process optimization and implementation (e.g. client onboarding)
- Support / processing of requests from counterparties
- Active assistance during the prudential audit
- Contact person for the prudential audit company (incl. participation in the kick off and final meeting)
- Review and statement on prudential audit reports

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We support you from the very beginning and are happy to prepare the application for the FINMA licence for asset managers of collective investment schemes.

Outsourcing of compliance and risk management duties is allowed in accordance with article 66 CISO-FINMA.