

# Audit Financial Services

Audit services that create trust.



## **Audit Financial Services – with a global network, local roots and an instinct for growth**

Grant Thornton Switzerland/Liechtenstein is a renowned audit and advisory firm with a well-established tax department and extensive experience in outsourcing. With branches in Zurich, Schaan, Geneva and Buchs (SG), we have strong local roots and, as a member of Grant Thornton's international network, are linked at global level. Offering wide-ranging and future-oriented services, we help dynamic organisations unlock their growth potential. The scale of our operations as well as our concessions and licences permit us to meet your demands in both a national and

international context. At the same time, we are small and agile enough to respond to your needs in a flexible way. “An instinct for growth” is our performance promise to you. With this keen sense for growth potential combined with practice-oriented expertise and a sound grasp of your particular business, we are an ideal partner in these risky and fast-moving times.

## **More security, more trust: Audit services for banks and other financial companies**

A professional audit increases the reliability of your corporate information for all decision-makers. Thanks to our independent, competent audit services,

Grant Thornton Switzerland/Liechtenstein can guarantee your company maximum credibility and trust. Our auditors have the experience and training required to meet the high demands placed on auditing today and can be trusted to perform tasks reliably and competently. Clients' instructions are carried out independently and objectively while not forgetting the great importance attached to personal client support. As a client of Grant Thornton Switzerland/Liechtenstein, you can fully rely on our experts' thorough knowledge of particular industries and specialist areas in all audits carried out by us and rest assured of our individualised, transparent and cost-effective services at all times. Auditing that builds trust.



## Our Audit Financial Services in Switzerland and Liechtenstein include:

Audit services	Grant Thornton Switzerland	Grant Thornton Liechtenstein
For all companies	<ul style="list-style-type: none"> <li>Regular and limited audits in accordance with the Code of Obligations/ Swiss GAAP FER</li> <li>Money laundering audits</li> </ul>	<ul style="list-style-type: none"> <li>Audits in accordance with the Law on Persons and Companies (PGR)</li> <li>Due diligence audits</li> </ul>
Banks/investment firms	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with BankA/FinIA</li> <li>Audits for institutions seeking authorisation</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with BankA</li> </ul>
Electronic money/payment institutions/fintech	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with Article 1b of BankA (fintech) and FinIA</li> <li>Audits for institutions seeking authorisation</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with the E-Money Act (EMA)/Payment Services Act (PSA)</li> </ul>
Insurance companies		<ul style="list-style-type: none"> <li>Regulatory audits in accordance with Insurance Supervision Act</li> </ul>
Fund managers/custodians of group assets/asset managers	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with FinIA</li> <li>Audits for institutions seeking authorisation</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with the Asset Management Act</li> </ul>
Funds	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with CISA</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with UCITS Act/AIFM Act/Investment Undertakings Act (IUG)</li> </ul>
Swiss asset managers and trustees	<ul style="list-style-type: none"> <li>Regulatory audits for supervisory bodies</li> </ul>	
Blockchain and crypto companies	<ul style="list-style-type: none"> <li>Regular and limited audits in accordance with the Code of Obligations/ Swiss GAAP FER</li> </ul>	<ul style="list-style-type: none"> <li>Regulatory audits in accordance with the Electronic Money Act (EMA)/Payment Services Act (PSA)</li> </ul>
Pension funds/ investment foundations	<ul style="list-style-type: none"> <li>Revisions in accordance with the provisions of Swiss GAAP FER/OPO</li> </ul>	



## Our Financial Outsourcing Services in Switzerland and Liechtenstein include:

Outsourcing services	Grant Thornton Switzerland	Grant Thornton Liechtenstein
For all companies	<ul style="list-style-type: none"> <li>Accounting outsourcing</li> </ul>	<ul style="list-style-type: none"> <li>Adopting the role of Internal Audit</li> </ul>
Banks/investment firms	<ul style="list-style-type: none"> <li>Adopting the role of Internal Audit</li> </ul>	<ul style="list-style-type: none"> <li>Accounting outsourcing</li> </ul>
Insurance companies		<ul style="list-style-type: none"> <li>Accounting outsourcing</li> <li>Adopting the role of Internal Audit</li> <li>Adopting the role of Captive Compliance</li> </ul>
Fund managers/ custodians of group assets/asset managers		<ul style="list-style-type: none"> <li>Accounting outsourcing</li> </ul>



## Our Financial Advisory Services in Switzerland and Liechtenstein include:

- Assessment of internal policies such as regulations, instructions, contracts, documents required when opening an account
- Supervisory advice and assessment services, for example on liability issues, product range, outsourcing, banking secrecy/data protection, statutory reporting requirements, cross-border governance, the Qualified Intermediary (QI) regime and the Foreign Account Tax Compliance Act (FATCA) as well as how to combat money laundering
- Advisory services when designing risk management systems and internal control systems (ICS)



## Contacts



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