



AI Health Check

A structured assessment of your current status regarding the responsible use of artificial intelligence – from the regulatory and operational starting point through gap analysis to implementation.

Why an AI Health Check?

Artificial Intelligence (“AI”) has arrived in the Swiss financial market – from the use of generative AI¹ in day-to-day work to specialized analysis tools and automated customer processes. While it promises efficiency and competitive advantages, it also brings with it new risks that must be assessed. These include, for example, operational risks – including security, outsourcing, and third-party risks – breaches of data protection or trade secrets, as well as general reputational and liability risks.

In parallel with AI developments, the regulatory environment is becoming more stringent. **FINMA** has already specified its expectations regarding the use of AI at the end of 2024. The **EU AI Act** may, under certain circumstances, also apply to Swiss financial intermediaries, and other legal provisions – such as those of the **Federal Act on Data Protection (FADP)** – are also of great importance when applying artificial intelligence. With regard to Swiss legislation, it has

already been announced that a draft bill on AI regulation is expected to be submitted for consultation by the end of 2026.

By taking timely action, potential regulatory findings, data protection violations, and reputational risks can be addressed and minimized early on.

Our AI Health Check helps you **systematically identify the opportunities and risks** that arise from the use of AI in your institution, close compliance gaps early on, and sustainably establish a responsible, regulatory-compliant approach to AI.

Guided Assessment in a Workshop Format

Our AI Health Check is more than just a checklist: Based on a comprehensive introduction to the topic to raise awareness, we conduct a structured assessment together in a compact workshop. In doing so, we examine your existing AI applications, planned use cases, internal guidelines, and governance structures through direct dialogue – in a

¹ AI that is trained to recognize patterns in collected information and use them to generate new content.

personalized, practical, and easy-to-understand manner. The assessment is moderated by our Regulatory & Compliance experts and is specifically designed to deliver understandable results even without in-depth prior technical knowledge of AI.

Basis: Swiss Regulation and International Standards

Our Health Check is based on the leading frameworks for trustworthy AI and the Swiss regulatory requirements that apply to you:

- **FINMA expectations regarding governance and risk management:** consideration of regulatory requirements for the responsible use of AI in the financial market.
- **EU AI Regulation (AI Act):** Assessing applicability, classifying your applications into risk categories, and determining the relevant obligations for your role.
- **Data Protection and Confidentiality:** Assessment of the compliant processing of personal data and confidential information.

Operational Risks

As part of the Health Check, selected operational risks are discussed, e.g.:

- **Security:** Discussion of security-related aspects, such as the disclosure of sensitive information to AI tools.
- **Reliability:** Assessment of the verification of AI results and their traceability. Scenario analysis in the event of AI failure.

Your Benefits – What You Receive:

- **Clear assessment of your current status:** An overview of the current maturity level of your AI practices and the key risks involved.
- **Regulatory classification:** Analysis of which obligations under FINMA supervisory law, the EU AI Act, the FADP, confidentiality obligations, etc., specifically apply to your institution and your applications.
- **Operational framework:** Review of security-related aspects, handling of AI results, and scenario analysis.
- **Prioritized recommendations:** Concrete measures tailored to your size and business model to address the identified gaps – prioritized by risk, effort, and regulatory urgency.
- **Implementation Support:** Upon request, we assist you in implementing the measures, e.g., by ensuring their proper integration into your internal control system, drafting your internal AI policy, and training your employees.
- **Efficient and practical:** Through a facilitated workshop and follow-up activities, depending on the complexity of your AI landscape.



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