



Regulatory & Compliance Financial Services

Comprehensive advisory services in the area of
financial market law.

At Grant Thornton Switzerland / Liechtenstein, we provide a range of financial market law services to banks, investment firms, insurance companies, collective investment schemes, fund management companies, asset managers, fintech institutions, other financial intermediaries and supervisory authorities.

All specialists of the Regulatory & Compliance FS team have a legal background in the field of education as well as wide and long-standing professional experience in the financial industry. We work closely with our auditors in the Audit Financial Services division and advise mainly banks, asset managers and other financial institutions in all areas of financial market supervisory law.

Our regulatory and compliance services in the area of financial services cover the following topics:

1. ICS, Risk Management & Compliance

Our core competence lies in particular in compliance and risk management services for financial service providers: We use our know-how from regulatory auditing activities and are available to you as a consultant and outsourcing partner. We support you in the implementation of risk and compliance issues in your company.

The services can be obtained as complete packages or modularly, tailored to your specific needs. The services cover the following areas:

Compliance / AML Office

- Ad hoc clarifications and advice on financial market law issues
- Implementation and documentation of compliance controls according to ICS

- Assumption of the money laundering office function
- Creation and updating of policies, directives, internal processes
- Support with the implementation of regulatory requirements
- Exchange with the management/board of directors, the external auditors and the supervisory authority

Risk Management

- Advice in the area of risk management
- Implementation and documentation of risk management controls according to ICS
- Creation and management of an integrated risk and ICS matrix
- Implementation of ICS and risk matrix

Implementation of processes, tools, work equipment and templates

- Directive system (statutes, organisational and business regulations, directives, organisational charts, processes)
- Business plan with budget and regulatory capital calculation
- ICS and risk documentation
- Contract documents, forms, checklists, declarations

Education and training

- Conducting staff training and continuing education workshops on all required regulatory topics (including AMLA, FINIA, FINSA, Cross-Border, DPA, ESG)

You already have an internal risk and compliance function and only need support for specific challenges?

We also offer ad-hoc advice or take over the deputisation of your risk management and compliance function.



2. Advice on regulatory issues

Do you have a regulatory question in the area of financial market law? We offer advisory services and prepare a legal opinion in the following areas of law:

- Money Laundering Legislation (MLA)
- Financial Institutions Act (FINIA)
- Financial Services Act (FINSa)
- Financial Market Infrastructure Law (FMIA)
- Collective Investment Schemes Act (CISA)
- Banking law
- International Tax Compliance (QI, FATCA, AIA, etc.)
- ESG regulation and legal issues in sustainable finance
- Corporate law and data protection law in the financial market

3. Support in the FINMA approval process and during license audits

A licensing procedure is associated with various challenges, both in terms of time and the process steps to be achieved. Thanks to our many years of experience and good networking in the financial sector, we know the expectations of the supervisory authorities and FINMA very well and can provide you with excellent support in the authorisation process. We support you in the following topics:

- Preparation of the licence application
- Creation/review of the required supplements
- Instruction workshops
- Questions around Corporate Governance
- General professional support
- Review of documents and assistance with the submission of the application
- Support in exchanges and meetings with FINMA and the supervisory authorities
- Composing and submitting correspondence in cooperation with you
- Representation vis-à-vis FINMA/supervisory authorities in the authorisation procedure

4. Other services

In addition to our core competencies, we also offer the following services:

- Regulatory Due Diligence and Regulatory Health Check, GAP analyses
- Internal investigations and special audits
- Body Lending





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