

Overview of standard service packages for IAM and Trustees

For each situation the right answer

Service packages for the set-up and licensing phase



Transformation

Establishment/transformation of structures, processes and control framework plus processing of the licensing/supervisory authority submission



Transformation light

Processing of the licensing/supervisory authority submission for asset managers that are already members of a self-regulatory organisation

Service packages for operating businesses



Outsourcing financial crime

Outsourcing of the internal anti-money laundering body incl. sanctions and embargos and FATCA/AIA competence centre



Outsourcing compliance

Compliance function outsourcing incl. internal anti-money laundering body and FATCA/AIA competence centre



Outsourcing complete

Risk management and compliance function outsourcing incl. internal anti-money laundering body and FATCA/AIA competence centre

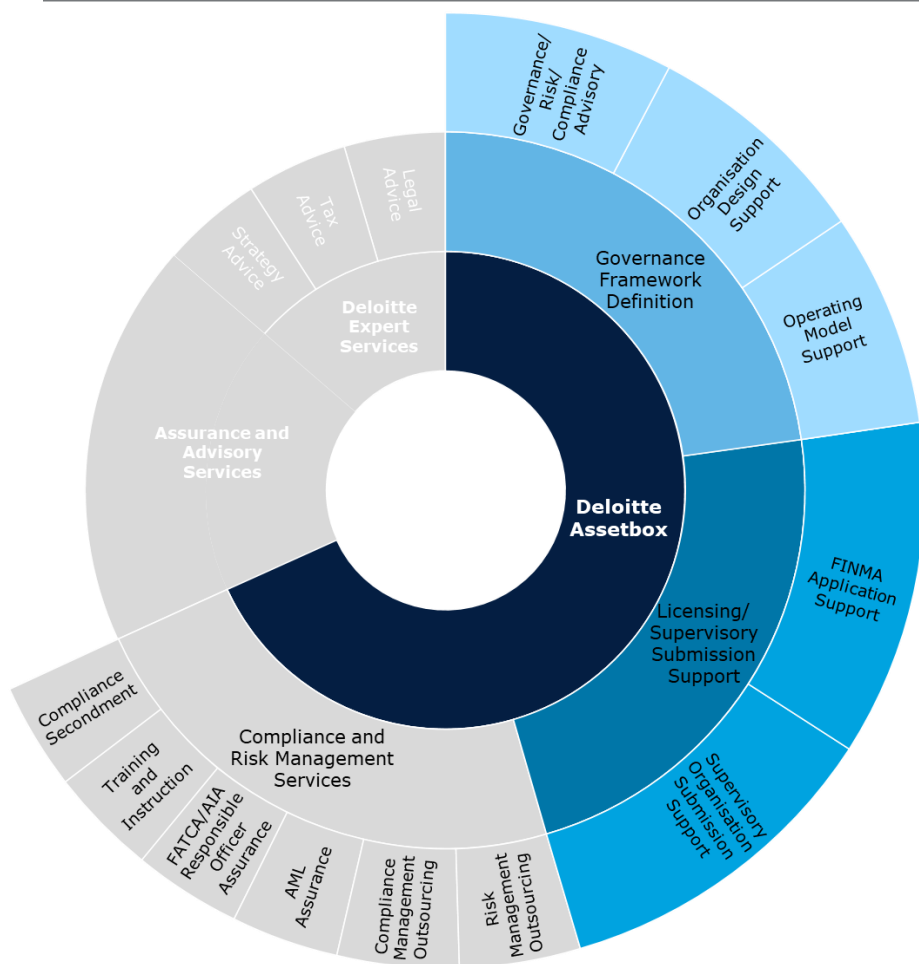
Service package «Transformation»

Set-up/transformation of structures, processes and ICS plus submission and licensing process management

Suitable for	Small business (1-3 persons, up to 50 customers/up to CHF 100 Mio. AuM)	Medium business (4-20 persons, up to 100 customers/up to CHF 200 Mio. AuM)	Large business (> 20 persons, > 100 customers/> CHF 200 Mio. AuM)
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Already SRO regulated

Founding



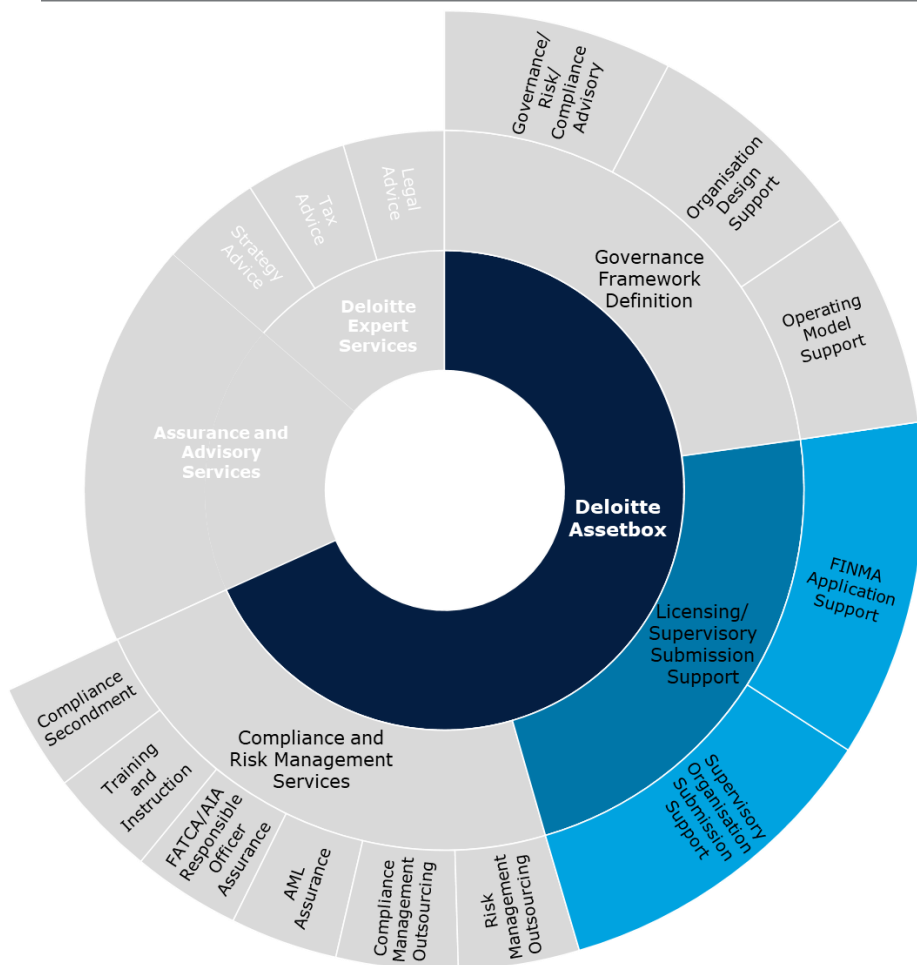
How we work

- Together with the client, our team of experts conducts a structured analysis of the business strategy and customer operations
- Based on this, the organisational set-up is defined and either built from scratch or transformed where necessary
- By using best practice, lean and efficient processes and structures are modelled and an effective internal control system is documented
- Subsequently, we assume the implementation of the submission proceedings at the supervisory organisation and the authorisation process at FINMA

Service package «Transformation LIGHT»

Submission and authorisation procedures execution for already SRO regulated asset manager

Suitable for	Small business (1-3 persons, up to 50 customers/up to 100 Mio. CHF AuM)	Medium business (4-20 persons, up to 100 customers/up to 200 Mio. CHF AuM)	Large business (> 20 persons, > 100 customers/> 200 Mio. CHF AuM)
Already SRO regulated	✓	✓	✓
Founding			



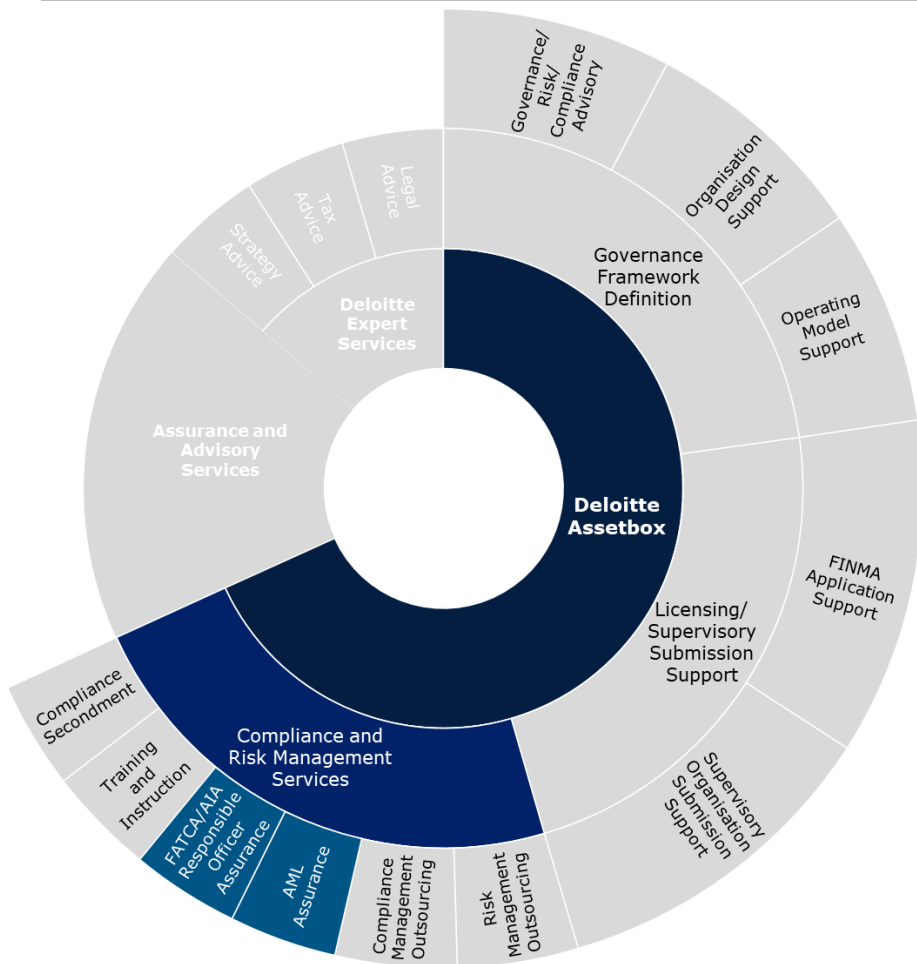
How we work

- We assume the implementation of submission procedures at a supervisory organisation and the authorisation process at FINMA
- Together with you we compile the necessary papers and documents, write the necessary applications and submit them to the responsible authorities and organisations
- Subsequently, we represent our clients in the proceedings before the authorisation authorities and ensure the necessary legal support until the decision regarding the authorisation or submission is made

Service package «Outsourcing Financial Crime»

Outsourcing the AMLA specialist unit, incl. sanctions and embargo and FATCA/AEI competence centre

Suitable for	Small business (1-3 persons, up to 50 customers/up to 100 Mio. CHF AuM)	Medium business (4-20 persons, up to 100 customers/up to 200 Mio. CHF AuM)	Large business (> 20 persons, > 100 customers/> 200 Mio. CHF AuM)
Already SRO regulated	✓	✓	
Founding	✓	✓	



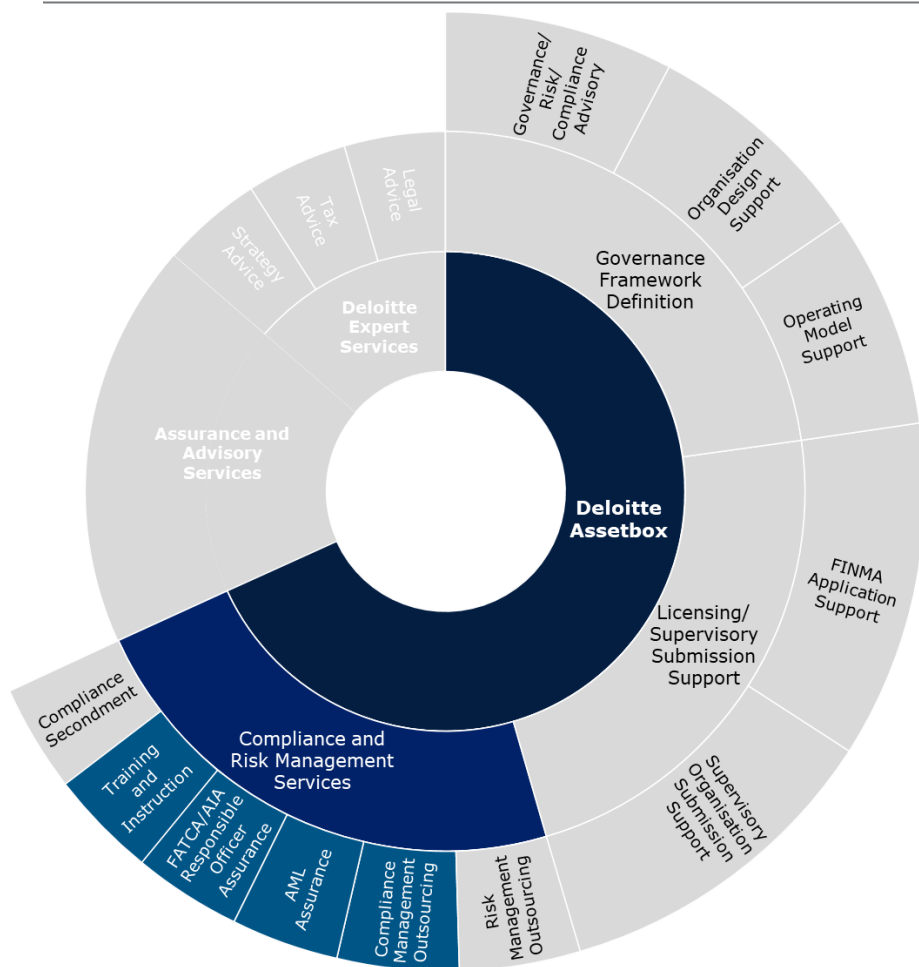
How we work

- We record your customer base and your new customers and check them according to the highest KYC principles
- We ensure adequate customer documentation that significantly simplifies our clients' customer risk classification
- Through our transaction monitoring, our clients recognise the increased risks involved. We propose adequate risk mitigation measures
- We take care of an appropriate system of directives and ensure the necessary reporting at all times

Service package «Outsourcing Compliance»

Outsourcing the compliance function, incl. AMLA specialist unit and FATCA/AEI competence centre

Suitable for	Small business (1-3 persons, up to 50 customers/up to 100 Mio. CHF AuM)	Medium business (4-20 persons, up to 100 customers/up to 200 Mio. CHF AuM)	Large business (> 20 persons, > 100 customers/> 200 Mio. CHF AuM)
Already SRO regulated	✓	✓	✓
Founding	✓	✓	✓



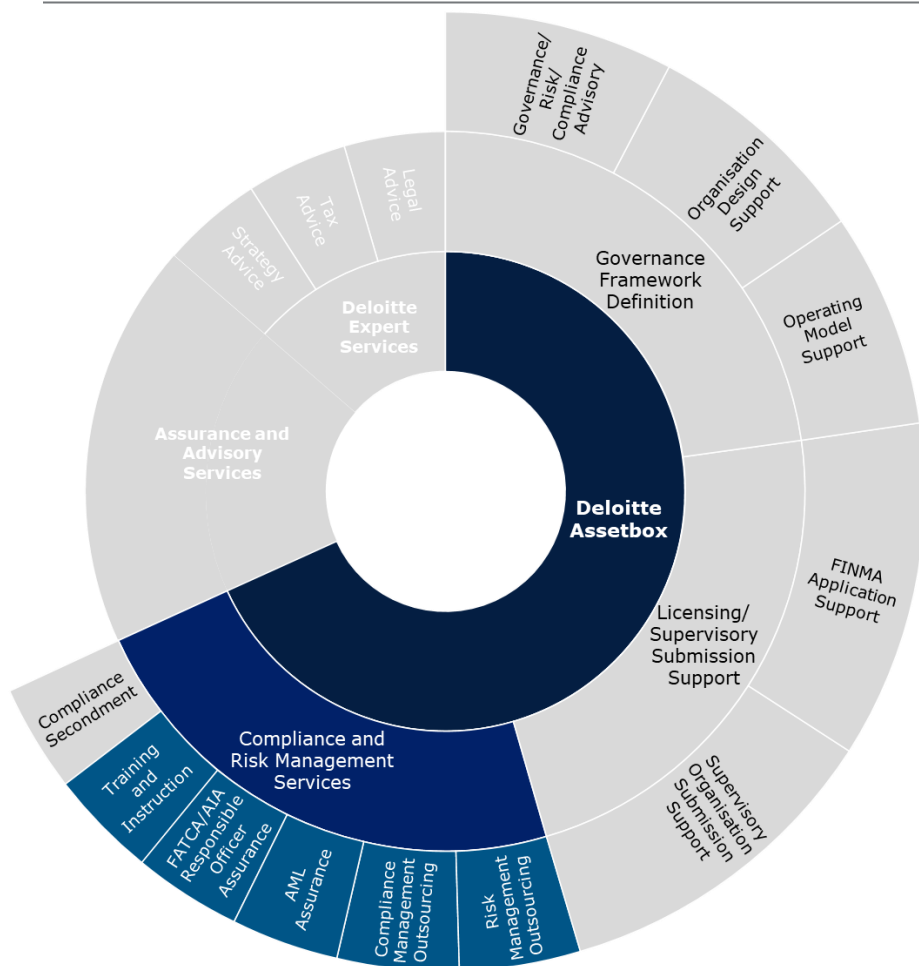
How we work

- In an initial risk analysis, we show our clients priority areas of action
- Building on this, we create an annual compliance program and plan the incidental tasks for a whole year
- Regular reporting provides our customers with security and an overview of the actual risk situation in their business
- We incorporate the findings of our reviews and controls into the navigations of our customers' work processes and thus continuously increase their operational efficiency. That creates added value and trust
- Furthermore, we are constantly updating the control framework

Service package «Outsourcing Complete»

Outsourcing the risk management and compliance function, incl. AMLA specialist unit and FATCA/AEI competence centre

Suitable for	Small business (1-3 persons, up to 50 customers/up to 100 Mio. CHF AuM)	Medium business (4-20 persons, up to 100 customers/up to 200 Mio. CHF AuM)	Large business (> 20 persons, > 100 customers/> 200 Mio. CHF AuM)
Already SRO regulated	✓	✓	✓
Founding	✓	✓	✓



How we work

- We build an integrated internal control system together with our customers. In an initial risk analysis, we show our customers the priority areas of action
- Building on this, we create an annual compliance program and plan the incidental tasks for a whole year
- Regular reporting provides our customers with security and an overview of the actual risk situation in their business
- We incorporate the findings of our reviews and controls into the navigations of our customers' work processes and thus continuously increase their operational efficiency. That creates added value and trust