

Seminars 2019 General conditions

Seminar application

The application can be filed by mail or online on www.pd-consulting.ch, or sent by e-mail or mail.

Number of attendees

The number of attendees will be between 10 – 30. The application of the participants is registered after receipt.

Duration of the seminar

The duration of the seminar C3.1E is half a day, 13.00–17.30 PM.
The duration of the seminar C3.2E is half a day, 13.30–17.30 PM.

Seminar costs

The seminar costs are CHF 550.00 (includes fee, documents, snacks).

Cancellation policy

50% seminar costs will be charged for cancellations prior to 5 weeks of seminar commencements, 100% for cancellations thereafter. Stand-in participants are accepted without further costs.

Cancellation of seminars

Seminars with too few registrations can be cancelled. The participants will receive a replacement or a refund of the seminar fee.

In-house-Seminar

On request we offer a budget-friendly seminar to your personal needs. For further details please contact us.

Certificate

All attendees will receive a training certificate that is accepted by auditors, SRO and the supervisory authorities.

Contact

Do you have questions concerning law, compliance and training?
Please contact us for support.

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www.pd-consulting.ch

Bern, November 2018

SEMINAR SAAM 2019



Independent Asset Management, Anti-Money Laundering

Duty of Due Diligence of the SAAM

Basic Seminar:
September 11, 2019 Hotel Glockenhof, Zurich

Advanced Seminar:
October 23, 2019 Hotel Glockenhof, Zurich

Seminar leader:
Philippe Dové, PD-CONSULTING GmbH



Verband Schweizerischer Vermögensverwalter | VSV
Association Suisse des Gérants de Fortune | ASG
Associazione Svizzera di Gestori di Patrimoni | ASG
Swiss Association of Asset Managers | SAAM



PD-CONSULTING GMBH

RECHTSBERATUNG UND AUSBILDUNG FÜR FINANZINTERMEDIÄRE



PD-CONSULTING GMBH

RECHTSBERATUNG UND AUSBILDUNG FÜR FINANZINTERMEDIÄRE

Independent Asset Management, Anti-Money Laundering, Duty of Due Diligence of the SAAM – Basic Seminar

Target audience Employe/e/s and auditors of Financial Intermediaries (FI), who are member of the SAAM or employe/e/s of FI, who act as Asset Manager. **This seminar is appropriate for new SAAM members and new employees of SAAM members.**

Seminar ambition The accurate application and compliance of the Swiss Code of Conduct, the Anti-Money Laundering regulation of the SAAM (AML-R SAAM) and the relevant legal requirements.

- Contents**
- 1. The implementation of the Swiss Code of Conduct for Independent Asset Management 2017, new challenges for FI with respect to FinSA and FinIA**
 - 2. Overview of the Swiss Anti-Money Laundering Legislation, revision of the AML provisions**
 - 3. Anti-Money Laundering regulation 2017 of the SAAM:**
 - Duty of due diligence
 - Duty to keep records
 - Organisational measures
 - Termination of the business relationship and duty to report
 - 4. Case studies, exercises and solutions**
 - 5. The handling of relevant regulations for asset managers:**
 - in the penal law
 - in the Anti-Money Laundering Act, AMLA
 - 6. Consequences of the non-observance of the regulations**

Duration Half a day, 13.00 – 17.30 PM

Consultants Philippe Dové, attorney-at-law, LL.M., PD-CONSULTING GmbH

Second specialized consultant

Update 2019: Anti-Money Laundering, Duty of Due Diligence of the SAAM – Advanced Seminar

Target audience Employe/e/s and auditors of Financial Intermediaries (FI), who are member of the SAAM or who act as Asset Manager and who have already visited a basic seminar.

Seminar ambition The know-how of the attendants will be updated and refreshed, in particular by handling case studies and exercises.

- Contents**
- 1. Overview of the Swiss Anti-Money Laundering legislation, new duties for FI**
 - 2. Selected subjects handling the AML-Regulation SAAM**
 - 3. Case studies, exercises and solutions**
 - 4. Current information/new challenges for asset managers, in connection with the impact of FinSA, FinIA, AEOI**
 - 5. The responsibility of the FI and his employees in the subjects AML and taxes**
 - 6. Case studies, exercises and solutions**

Duration Half a day, 13.30 – 17.30 PM

Consultants Philippe Dové, attorney-at-law, LL.M., PD-CONSULTING GmbH

Second specialized consultant



SEMINAR APPLICATION 2019

You can register **online** at www.pd-consulting.ch. Or fill in this form in block letters and return it by e-mail (info@pd-consulting.ch) or by mail PD-CONSULTING GmbH, Postfach, 3001 Bern.

1. ATTENDANT

Yes, I participate in the following Seminar:

- C3.1E: Independent Asset Management, Anti-Money Laundering, Duty of Due Diligence of the SAAM – Basic Seminar: September 11, 2019 – Hotel Glockenhof, Zurich**
- C3.2E: Update 2019: Anti-Money Laundering, Duty of Due Diligence of the SAAM – Advanced Seminar: October 23, 2019 – Hotel Glockenhof, Zurich**

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company name
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mailing address
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ZIP, place
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phone e-mail
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member of SAAM yes no auditor of a member of SAAM yes no
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2. ATTENDANT

Yes, I participate in the following Seminar:

- C3.1E: Independent Asset Management and Anti-Money Laundering, Duty of Due Diligence of the SAAM – Basic Seminar: September 11, 2019 – Hotel Glockenhof, Zurich**
- C3.2E: Update 2019: Anti-Money Laundering, Duty of Due Diligence of the SAAM – Advanced Seminar: October 23, 2019 – Hotel Glockenhof, Zurich**

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