

IMPLEMENTATION OF THE NEW DUTIES FROM FINSA/FINSO AND FINIA/FINIO

Target audience Employees (Management included) and Members of the Board of Directors of Financial Intermediaries (FI), who act FinSA relevant and who are FinIA subordinated, in particular employees of Asset Managers, Collective Investment Schemes Companies, fund management as well as other interested parties.

Contents **Overview of the new regulations in the asset management business**

Registration/licensing obligation

- Organisational measures and requirements for FI
- Risk management / Internal controls
- Outsourcing of tasks

Code of conduct

- Client segmentation
- Information and risk disclosure
- Appropriateness and suitability assessment, risk profile and investment strategy
- Documentation and reporting

Implementation issues, initial practical experience and case studies

Events **16.03.2020** Hotel Glockenhof, Zurich
19.10.2020 Hotel Glockenhof, Zurich

Duration Half-day seminar, 13.30 – 17.30

Trainers Equilas AG

Language English

Costs CHF 600 excl. VAT

Registration Online at www.equilas.ch/dienstleistungen/ausbildung or by email ausbildung@equilas.ch

FINSA/FINIA TRAINING

A Implementation of the new duties from FinSA/FinSO and FinIA/FinIO

Seminar leader:

Equilas AG (successor of Ph. Dové, PD-Consulting GmbH)