# SWISSCOMPLY

## To be safe. Risk Management.

## SwissComply AG

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## STARTUP-PACKAGE FOR FUTURE INDEPENDENT ASSET MANAGERS AND TRUSTEES

### Congratulations on your step into self-employment.

Have you already taken the step into self-employment or are you about to do so? We would like to congratulate you on this step and wish you every success in the future. SwissComply is also a young company (founded in 2013) specialising in outsourcing compliance, risk management and legal services for independent asset managers. In recent years, we have been able to provide advice and support to countless asset managers on their way to becoming self-employed and/or with all kinds of licences. We would be pleased to use the extensive experience gained in the founding processes of companies and the interaction with the various (regulatory) authorities for you with the three efficient and pragmatic services outlined below.

## Your Personal Startup-Package

You may partner with us in connection with the formation of your company, the affiliation to a self-regulating organisation (SRO) and the initiation of your business activity either individually or as a complete package. The new Swiss financial market laws (FinSA and FinIA), which will enter into force in January 2020, have a significant influence on the (regulatory) structure of your company and the approval of an SRO these influencing factors will of course be considered in our advice.

Company formation	Affiliation to a self-regulating organisation (SRO)	Development of regulatory setup & Compliance & Risk Management Function
<ul> <li>SwissComply services:</li> <li>Consultation with regard to the appropriate legal form of organization</li> <li>Preparation of the founding documents: <ul> <li>Commercial register registration</li> <li>Constitution</li> <li>Stampa declaration</li> <li>Shareholders' agreements etc. in German, French or English</li> </ul> </li> <li>Advice on actions that you must perform yourself (a notarized signature, opening a blocked account, etc.)</li> <li>Advice on procedures with various offices and insurance companies (VAT, social insurance, casualty insurance, pension service)</li> </ul>	<ul> <li>SwissComply services:</li> <li>Consultation regarding the appropriate self-regulatory organization for the planned business model</li> <li>Takeover of the project management in the approval process: <ul> <li>Coordination/coordination with the SRO</li> <li>Filling in the required forms (in cooperation with the client)</li> <li>Collection of the necessary annexes</li> <li>Support in the documentation of the business model/business case</li> <li>Final review of all documents to be submitted</li> <li>Submission of documents (by email and post)</li> <li>If required, participation in interviews/conversations with the SRO</li> </ul> </li> </ul>	<ul> <li>SwissComply services:</li> <li>Establishment of the regulatory setup: <ul> <li>Drafting of a tailor-made contract for the services offered by the client (e.g. asset management contract for Swiss and EU clients; investment advisory contract for Swiss clients)</li> <li>Drafting and implementing the organizational regulations and directives</li> <li>Implementation of a software-supported internal control system (ICS)</li> <li>Implementation of the mandatory employee training courses</li> </ul> </li> <li>2. Takeover of compliance, risk management and legal services: <ul> <li>SwissComply offers proven expertise in the areas of compliance, risk management and legal for independent asset managers.</li> <li>Numerous independent asset managers have already completely outsourced this function to SwissComply (reference information possible).</li> </ul> </li> </ul>
Duration: 2-4 weeks	Duration: 2-4 weeks	ongoing
Costs: CHF 2'500 Costs for both mod	Costs: CHF 5'500 ules combined: CHF 7'000	Costs: depending on the size and complexity of the business model

Curios to know more? We look forward to hearing from you and will be happy to discuss your needs with.

### Your contact

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