

The Swiss Risk Association (SRA) is a non-profit organisation and open forum for risk management and financial engineering. The SRA is organizing an event tailored for External Asset Managers (EAM) as well as the custodian banks. The goal of this event is to share best practices and experiences between various practitioners.

FinSA & FinIA for External Asset Managers (EAM)

The new Swiss Financial Services Act (FinSA) and Financial Institutions Act (FinIA) will impact the business of the External Asset Managers (EAM). Both the external asset managers and the custodian banks will have to adapt their current risk management framework. We will discuss what this means in practice for the EAM as well as for the banking side.

We will discuss:

- The impact of the new Swiss Financial Services Act (FinSA) and Financial Institutions Act (FinIA) for Banks and EAMs.
- Possible concrete measures taken by banks to manage the collaboration with EAM and related surveillance of risks.
- What steps are taken by EAMs to manage the risks (e.g. Product Distribution, Investor Profiling, Suitability, conflict of interest, best execution, transparency of fees and reporting etc.)?
- The externalization (outsourcing) of risk management/compliance services.

The following speakers will be presenting the new challenges as well as sharing their experiences:

Alessandro Bizzozero: Founder of BRP at Bizzozero & Partner S.A.

Andreas Hofmann: Head Governance EAM at LGT and **Rouven Salzmann:** Management Office at LGT Bank

Peter Alder: COO and Head of Compliance and member of the Group Executive Committee at Marcuard Heritage AG

Stefan Baumann: Partner of Swisscomply (Compliance & Risk Management outsourcing and advising services) for EAM

moderated by **Jean-Pierre Colombara**, board member at Swiss Risk Association

Event details:

When: 2. June 2022, 18:00 - 20:30 (event until 19:30, apero afterwards)

Where: ZKB Atrium, Bahnhofstrasse 9, 8001 Zürich

Price: Usually, such events are only offered to the SRA Members. However, we have decided to offer a Day Pass for External Asset Managers with a moderate fee of CHF 50.- per person.

Registration: <https://www.swiss-risk.org/upcoming-events/finsa-eam/>