

# Outsourcing Compliance and Risk Management

## Focus on your core competencies

### New requirements for asset managers

The Financial Institutions Act (FinIA) and Financial Services Act (FinSA) impose stringent demands on how asset managers structure their organizations.

### Segregation of duties

An appropriate organizational structure with a segregation of duties between client advisory or asset management functions and compliance, risk management and internal control functions is obligatory.



### Required qualifications

In addition, all individuals who perform the above mentioned functions must be appropriately educated and professionally qualified.

### Outsourcing as a solution

Given that many asset managers have neither sufficient staff at their disposal nor of the required professional qualifications to ensure an independent and appropriately qualified compliance and risk management function, the legislator stipulates that these functions can be outsourced to an external service provider.

### Advantages of outsourcing

By outsourcing the compliance and/or risk management function to Compliance Group we help you to become fully compliant with all regulatory requirements that apply to you and enable you to focus on your core competencies.

The outsourcing has the following additional advantages:

- Cost efficiency
- Ensuring an appropriate organizational set-up
- Your Compliance Officer is regularly on-site and can always be reached by telephone or e-mail

### Activities of Compliance Group

It is up to you to define which activities should be performed by us as your outsourced compliance or risk management function. These can include the following activities:



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