



Advisory Financial Services

Consultancy services that generate real added value for financial service providers.

Globally networked

Grant Thornton Switzerland/Liechtenstein is a well-known auditing and consulting company with a well-established tax department and extensive experience in the area of outsourcing. With offices in Zurich, Schaan, Geneva und Buchs (St. Gallen), we have strong local roots, yet being part of the Grant Thornton international network we are globally networked. Offering a wide range of services, we help dynamic companies unleash their growth potential. Thanks to the size of our organisation as well as the licences and concessions we hold, we are able to satisfy our clients' demands both in a national and international context while at the same time remaining small and agile enough to respond flexibly to their needs.

Understanding change as an opportunity

At Grant Thornton Switzerland/Liechtenstein you as a financial service provider benefit from our advisory expertise garnered over many years: Our advisers know the financial services industry inside out, all having accumulated invaluable experience from years spent with banks, asset management

and insurance companies or technology enterprises related to these sectors. Working together with you, we rigorously exploit the opportunities thrown up by the radical market changes taking place in the financial services industry thereby generating valuable potential for you. We do this by not regarding new regulatory requirements as hindrances but rather by adapting, repositioning and enhancing the efficiency of business processes and models. This has the benefit of keeping regulatory costs low and also creating new earnings potential while still observing compliance. At the same time we provide you with feasible and measurable solutions tailored precisely to your particular needs which can be seamlessly integrated into your operational processes and the culture of your organisation, thus creating sustainable added value. Whether you are a bank, insurance company or asset management company, FinTech, energy or commodity trader, your enterprise, your visions and your customers are central to our work and our solutions: In times of radical market changes, we help you to develop your growth potential to its fullest and be a leader in the new digital markets.

Our services in the area of Advisory Financial Services:

- Banking-, insurance, energy trading, financial markets law and regulation
- Energy- and commodity trading (electricity, crude oil and natural gas, commodities, precious metals, etc.)
- Advice on obtaining a license (FINMA) and on the Switzerland-Germany exemption procedure as well as Regulatory and Legal Management
- Regulatory transformation, risk-based and secure operationalization of regulatory requirements (e.g. MiFID II/ MIFIR, FIDLEG/FINIG, EMIR/FinfraG, CRD IV, FINMA-Circulars PRIIP, PSD 2, DGSD, GwG, VSB, EU-AML 5-6, AnaCredit, IDD, Solvency II, EU-CSDD, EU-DORA, etc.)
- Governance, Risk and Compliance (e.g., corporate structures, ICS, risk and regulatory management, accounting, Basel III/IV, LiqV, ERV, CRD IV, LCR, NSFR)
- Product-related, operational and sales compliance, coaching and compliance training
- Out-/Insourcing of the compliance function
- Compliance, big data Digital/automated (predictive)
- Bank client confidentiality, data protection, data security and Cyber Security
- Compliance Tool Quality Assessments
- Anti-money laundering law and regulation, Monitoring, integrity and prevention (e.g. AMLA, CDB, FATF)
- Cryptoasset-Compliance
- Embargo & Sanctions control
- Internal (computerforensic) investigations
- Control reports, concept and scenario testing, certifications along international standards
- Corporate/Legal Entity Simplification, Restructuring and Remediation, Recovery and Resolution Planning («To Big to Fail»)
- Turn-around-, Change- and Crisis Management
- Business wind-down, liquidation and deposit scheme protection
- Digital transformation, legally compliant use of new technologies. (e.g., customer authentication, online/ video identification, blockchain, NFTs, smart contracts, crowdfunding).
- In-game asset management and gaming trading platforms Metaverse Finance & Insurance
- Sustainable Finance / ESG, EU-taxonomy, EU CSDD
- Enterprise Performance Management, Efficiency Improvement, Target Operating Model
- Capital markets law, structuring of and assistance with IPOs, capital increases, bond and GDR placements and delistings



Dr. Sebastian Neufang

Partner
Head Advisory Financial Services
Grant Thornton Switzerland/
Liechtenstein
T +41 43 960 71 71
M +41 79 482 13 30
E sebastian.neufang@ch.gt.com

©2023 Grant Thornton Switzerland/Liechtenstein



All rights reserved. Grant Thornton Switzerland/Liechtenstein belongs to Grant Thornton International Ltd (referred to as "Grant Thornton International" below). "Grant Thornton" refers to the brand under which each individual Grant Thornton firm operates. Grant Thornton International (GTIL) and each member firm of GTIL is a separate legal entity. Services are provided by the individual companies separately from another, i.e. no individual company is liable for the services or activities provided by another individual company. This overview serves the sole and exclusive purpose of providing initial information. It contains neither advice nor any recommendation, nor does it claim to be complete. No liability whatsoever is assumed for the content.