

REGULATORY TRAINING FOR TRUSTEES 2024 - Programme

Personalrestaurant Piazza CS, 1st floor, PATIO, Uetlibergstrasse 231, Zürich, 044 332 40 40

- DATE** **Wednesday, 24 January 2024**
- 08:45 REGISTRATION and COFFEE
- 09:00 **THE ORGANISATION – BASIS FOR FINMA LICENSED TRUSTEES AND WHAT IT ENTAILS / Session 1**
- Organisational requirements
 - Risk management and internal controls
 - Financial requirements
- Speaker:** **Barbara GALLATI, PwC**
- 10:30 REFRESHMENTS
- 11:00 **FINIA FROM THE PERSPECTIVE OF THE SUPERVISORY ORGANISATIONS (SO) / Session 2**
- Trustees in the new supervisory system: FINMA, SO, auditor – who is doing what?
 - Findings from the first audit period: Requirements for organisation, personnel, finances - where are there still difficulties?
 - Outlook: What new developments can be expected?
- Speaker:** **Dr. Nadja FABRIZIO, OSFIN**
- 12:30 LUNCH
- 13.30 **AML FOUNDATIONS / Session 3**
- Legal foundations
 - Duty of due diligence
 - Special Clarifications
 - MROS Reports
- Speaker:** **Marc BLUMENFELD, Alithis AG**
- 15:00 REFRESHMENTS
- 15:30 **AML EXPERIENCE AND CASES FROM AUDIT PERSPECTIVE / Session 4**
- AML risk assessment / criteria (relationship and transactions)
 - Annual AML risk analysis (financial institution)
 - Perspective of the auditors / lessons learned
- Speaker:** **Christina SCHIBLI, Grant Thornton**
- 17:00 CLOSE OF THE DAY

November 2023

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