






Outsourcing the internal control function

Seeking certainty when it comes to regulatory requirements and monitoring of potential risks? We support you in strengthening your company and increasing the quality of your services. As your trusted outsourcing partner for wealth managers and trustees, BDO can assist you with the following tasks:

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|  <p>Compliance</p> <ul style="list-style-type: none"> • Ad hoc support and advice on compliance and legal issues • Internal specialist unit for combating money laundering • 2nd line compliance controls in accordance with ICS control plan • Updating directives and standard documents in the event of regulatory changes • Compliance with cross-border regulations • Monitoring employee transactions and market conduct rules |  <p>Risk management</p> <ul style="list-style-type: none"> • Ad hoc support and advice on risk management issues at the enterprise level • Updating/managing the risk and control matrix • Preparing and managing the ICS control plan • Monitoring ICS documentation • Exchange of information with auditors during regulatory audits • 2nd line risk control activities |
|  <p>Reporting</p> <ul style="list-style-type: none"> • Integrated ICS, risk and compliance reporting to the board of directors and executive committee • Discussion of draft external regulatory reports • Presentation at the meeting of the BoD |  <p>Regulatory Monitoring</p> <ul style="list-style-type: none"> • Complimentary access for all employees to the BDO Digital Regulatory Monitoring Tool for wealth managers (bdo.ch/drm-en) • Regular updates and recommendations for action on all significant regulatory developments |
|  <p>Employee training</p> <ul style="list-style-type: none"> • Running customised compliance training and compliance workshops for employees, covering all topics required by law and directives (including AMLA, FinSA, Cross Border, etc.) • Delivery of training documentation and training confirmations | |

Modular – flexible – individual

Every institution is different. We define the service catalogue together with you. From complete outsourcing of the internal control function to delegation of individual sub-tasks within compliance – you choose and purchase only those services that you cannot or do not want to perform yourself.

More exploring, less explaining?

We understand your challenges and the regulators' requirements.

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