ACADEMY & FINANCE

Trustees' regulatory challenges (FinIA, AMLA, Sanctions):

appropriate organisation, key audit focus areas, FINMA's expectations

> Criteria for selecting service providers, including custodian banks, management companies etc.
> Transaction monitoring: specific challenges for non-administered structures
> Sanctions risk analysis: FINMA's expectations and trustee-specific risks

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9.00 Appropriate Organization (Internal Control System, Reporting, Outsourcing)
• Who is a Trustee under FINIA and therefore needs a trustee-license?
• Which trustee services are exempt from FINIA?
• What are the requirements for someone to be allowed to work as a (licensed) trustee?
• Does a trustee have to have to have a trustee company or is a sole proprietorship sufficient?
• What are the financial requirements?
• Can a trustee also offer additional financial services with a trustee-license, and if so, which ones?
• How does the licensing procedure work (Supervisory Organizations and FINMA)?
• Requirements regarding appropriate organization under FINIA (points of attention and changes requiring authorization/notification)
• Delegation of essential tasks (criteria for selecting service providers, including custodian banks, management companies, etc.)
• Internal control system (key controls, frequency, responsibilities)
• Reporting to supervisory bodies and involvement of senior management
• Supervision and audits of licensed trustees
Dr. Kaspar Luginbühl

10.00 AML Issues (Updates and Key Audit Focus Areas)
• Verification of the contracting party's identity and of beneficial owners (existing structures vs. new clients)
• Periodic review of business relationships (consolidated approach to structures, frequency, and responsible departments)
• Transaction monitoring (specific challenges for non-administered structures)
• Money laundering risk analysis (FINMA expectations and inherent risks specific to trustees)
Taulant Avdija

11.00 Coffee Break

11.20 Sanctions Monitoring
• Sanctions risk analysis (FINMA expectations and trustee-specific risks)
• Expected monitoring system (screening frequency, lists to be checked)
• Structures presenting high risks of sanctions circumvention (creation of new structures, transfer of ownership interests, holding of operating companies, etc.)
Taulant Avdija

12.20 End of the Seminar

ZURICH, FRIDAY 21 NOVEMBER 2025, 9.00-12.20, ZURICH SHERATON HOTEL / ONLINE

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I register to the seminar on "Trustees regulatory challenges" on 21 November 2025.

☐ I will attend in the conference room ☐ I will attend online on Zoom.

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