

## REGULATORY TRAINING FOR TRUSTEES 2024 - Programme

Personalrestaurant Piazza CS, 1<sup>st</sup> floor, PATIO, Uetlibergstrasse 231, Zürich, 044 332 40 40

**DATE**            **Wednesday, 13 November 2024**

08:30            REGISTRATION and COFFEE

08:45            **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**

10:15            REFRESHMENTS

10:45            **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**

12:15            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

February 2024

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