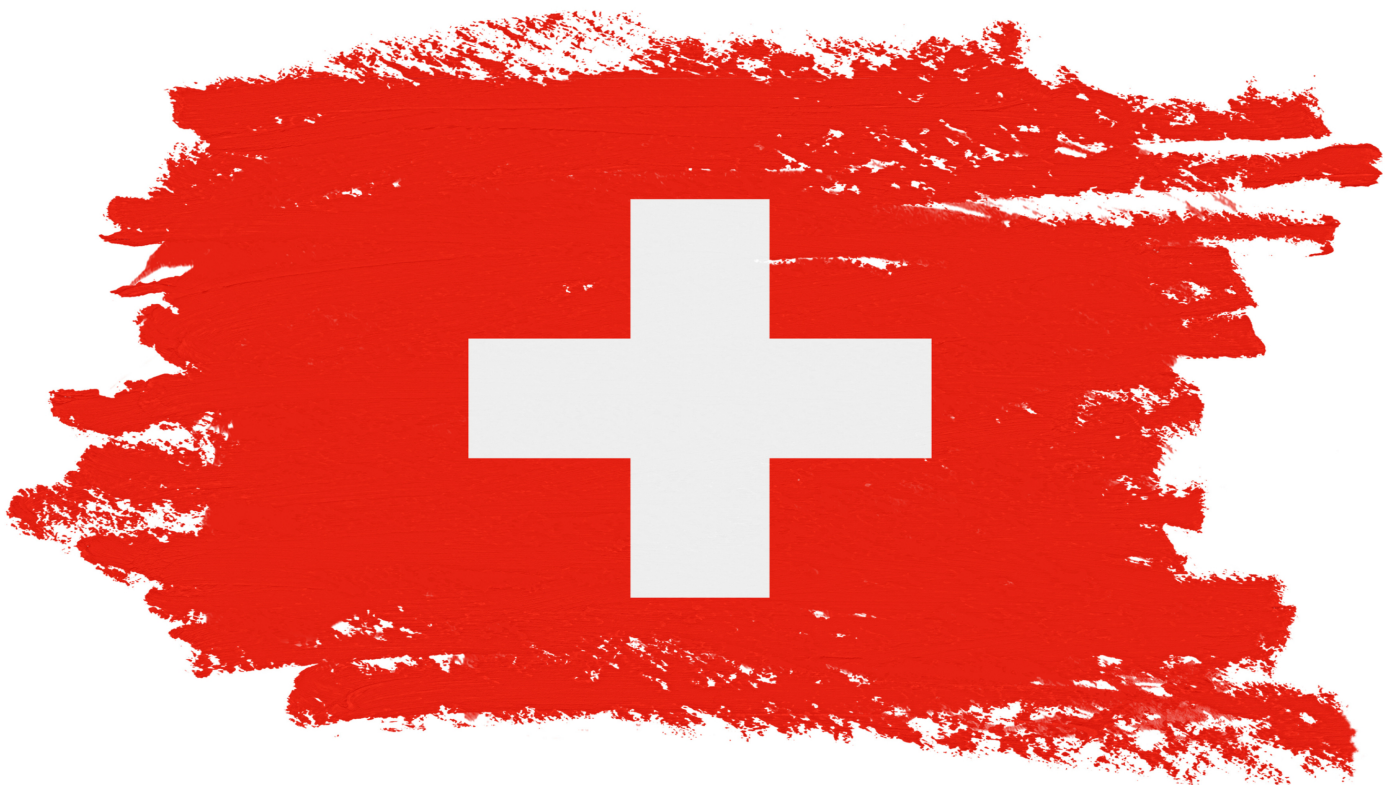


# Historical FINMA- licensed CISA Asset Management Business



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## Historical FINMA-licensed CISA Asset Management Business

A FINMA-licensed CISA SA (Collective Investment Schemes Act – Asset Management) in Geneva is authorized to perform a comprehensive range of activities related to the management of collective investment schemes. These activities are conducted in strict adherence to the Collective Investment Schemes Act (CISA), the Financial Institutions Act (FinIA), the Financial Services Act (FinSA), and associated FINMA ordinances and circulars.

The core function of a CISA SA is the management of collective assets on a commercial basis, specifically:

Portfolio Management of Collective Investment Schemes

Management of Swiss Collective Investment Schemes: This includes actively managing the assets of various types of Swiss collective investment schemes, such as:

- Contractual funds (e.g., investment funds organized as a contract between the fund management company, custodian bank, and investors)
- Investment Companies with Variable Capital (SICAVs)
- Investment Companies with Fixed Capital (SICAFs)
- Limited Partnerships for Collective Investments
- Management of Foreign Collective Investment Schemes: Managing the assets of foreign collective investment schemes for investors in or from Switzerland, provided the necessary agreements for cooperation and information exchange with foreign supervisory authorities exist.

### Risk Management of Collective Investment Schemes

- Implementing and overseeing comprehensive risk management systems for the collective investment schemes under management, ensuring compliance with all regulatory requirements regarding market risk, credit risk, liquidity risk, operational risk, etc. This is a legally distinct and critical function.

### Management of Assets of Occupational Pension Schemes

- On a commercial basis, managing assets on behalf of Swiss occupational pension schemes. This is a significant expansion of the CISA SA license's scope under FinIA.

### Fund Business / Administrative Activities (Ancillary Services)

- Beyond core portfolio and risk management, a CISA SA can also perform administrative tasks related to the collective investment schemes it manages. This may include:
  - Fund accounting.
  - Net Asset Value (NAV) calculation.
  - Transfer agency services.
  - Fund distribution support (often in cooperation with licensed distributors).
  - Other operational and administrative functions necessary for the proper functioning of the collective investment schemes.

TARGET PRICE  
CHF 3,750,000

GROSS REVENUE  
CHF 0

EBITDA  
CHF 0

BUSINESS TYPE  
Asset Management

COUNTRY  
Switzerland

BUSINESS ID  
L#20250971

## Investment Advisory (Ancillary to Core Activities)

- Providing investment advice to clients, typically as an ancillary service to their primary function of managing collective assets. This would fall under the conduct rules of FinSA.

## Distribution of Collective Investment Schemes (Under specific conditions)

- While the primary license is for management, a CISA SA can also engage in the distribution of collective investment schemes (both Swiss and foreign) to qualified investors in Switzerland. Distribution to non-qualified (retail) investors in Switzerland would typically require additional authorization or a designated representative.

## Development and Launch of Collective Investment Schemes

- Involves conceptualizing, structuring, and obtaining FINMA approval for new collective investment scheme products, including drafting fund contracts, articles of association, and investment regulations.

## Key Legal Responsibilities and General Capabilities (Implied by the license):

- **Prudential Oversight:** Subject to direct and continuous prudential supervision by FINMA, necessitating robust internal controls, compliance frameworks, and corporate governance.
- **Compliance with AML/KYC:** Strict adherence to Swiss Anti-Money Laundering (AML) requirements, including rigorous "Know Your Customer" (KYC) and due diligence procedures.
- **Best Execution Principles:** Duty to act in the best interests of the investors and ensure best execution for transactions.
- **Organizational Requirements:** Maintaining a FINMA-approved organizational structure, adequate staffing with qualified personnel, sufficient minimum capital, and appropriate own funds.
- **Reporting Obligations:** Regular reporting to FINMA on financial position, compliance, and activities.
- **Investor Protection:** Operating within a legal framework primarily designed to protect investors and ensure transparency.
- AuM: Approx 30M EUR Asset Under Management

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