

# FINMA Licensed Asset Manager





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Since its establishment in 2018, the firm has grown into a trusted participant in the Swiss financial sector, providing advisory, wealth management, and family office services to a broad range of private and institutional clients. With assets under management already in the ten-digit range, the company has demonstrated consistent capacity to attract and retain clients seeking structured financial oversight, professional governance, and long-term strategic planning. Its licensing under the Financial Institutions Act provides both operational security and market credibility, enabling it to operate seamlessly within Switzerland's tightly regulated financial environment.

- Place of Incorporation: Luzern, Switzerland
- Date of Incorporation: 2018
- Headquarters: Luzern, with the option to establish branches domestically and
- Paid-up Capital: CHF 320,000
- Regulatory Status: Fully licensed asset manager under the Financial Institutions Act (FINIA), authorised and supervised in
- Compliance: Qualified financial intermediary under the Swiss Anti-Money Laundering Act (AMLA). Fully audited with regular reports filed to Swiss
- Legal Standing: No debt, liabilities, or pending All tax returns filed and paid; good standing with regulatory and fiscal authorities.

### Corporate Purpose

The firm is authorised to provide a broad range of financial and advisory services, including:

- Investment Advisory Services – Tailored advice to individuals and institutions on portfolio construction, asset allocation, and investment
- Asset & Wealth Management – Discretionary and advisory management of client assets across traditional asset
- Family Office Services – Comprehensive support for private clients and families, including succession planning, wealth structuring, and consolidated.
- Financial and Organisational Planning – Support in structuring financial, organisational, and operational strategies for
- Fiduciary and Administrative Services – Execution of fiduciary mandates and associated administrative

### Authorised Activities

- Provide traditional asset management and investment advisory
- Conduct client acquisition and introductory services.
- Undertake currency and securities trading for clients or on its own account, including shares, bonds, derivatives, commodities, and precious
- Carry out settlement and escrow services related to investment
- Provide credit-related services in areas such as factoring, commercial financing, or leasing, where linked to its core
- Act as custodian, including the ability to hold and manage securities on deposit.
- Establish branches or subsidiaries in Switzerland or
- Participate in enterprises directly or indirectly related to its corporate

GROSS REVENUE  
CHF 0

EBITDA  
CHF 0

BUSINESS TYPE  
Asset Management

COUNTRY  
Switzerland

BUSINESS ID  
L#20251025

- Provide loans or guarantees to subsidiaries, shareholders, or third parties, within its permitted

## Banking & Operational Features

- Active multi-currency accounts with Swiss and European banking institutions (including custodian, broker, and fintech relationships).
- Custody and banking relationships with LGT & VP Bank, Switzerland
- Fully compliant with Swiss financial regulations, with required governance roles (Resident Director, AML Compliance Officer, ) in place.
- All statutory and licensing fees, as well as administrative and audit services, prepaid for the current operating

## Key Features at a Glance

1. Fully operational and compliant Swiss asset management and advisory
2. Licensed under FINMA's Financial Institutions Act (FINIA).
3. Strong expertise in investment management, family office services, and wealth
4. Long-standing presence in Switzerland, established in
5. Active banking, custody, and brokerage relationships with top-tier
6. Current bank account balance, CHF 270,000,- (included with the acquisition)
7. Tax break of CHF 600,000,- (fully deductible against future income)
8. No outstanding liabilities, fully audited, and in good
9. Flexible structure allowing for future expansion in Switzerland and

## Regulatory Premise

In recent years, Switzerland's financial regulatory landscape has been reshaped by stricter requirements introduced by FINMA, aimed at strengthening reporting standards and transparency. These changes significantly raised the compliance threshold for asset managers, leading to consolidation across the industry as many firms were unable to meet the new standards once the regulatory transition period closed at the end of 2022.

Throughout this period, the company maintained uninterrupted compliance and preserved its licensing status under the Financial Institutions Act. By successfully adapting to evolving requirements, the firm demonstrated its commitment to regulatory integrity and operational transparency, reinforcing its position among the select group of Swiss asset managers that remain fully authorised and active in today's market.

## Included in the sales price

- 100% interest in the fully FINMA-licensed Swiss AM- Company
- All of the company's licenses, relationship & assets
- Current bank account balance of CHF 270,000,-
- Tax break of CHF 600,000,- (deductible against future income)
- Costs paid in advance for the first year of operations
- The mandatory Swiss Resident Director
- The required AML Compliance Officer
- License & affiliation fees: 1 year
- Registered Office Address
- Administration and Accounting Services
- AML Audit

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