

CAPITAL MARKET COMPLIANCE

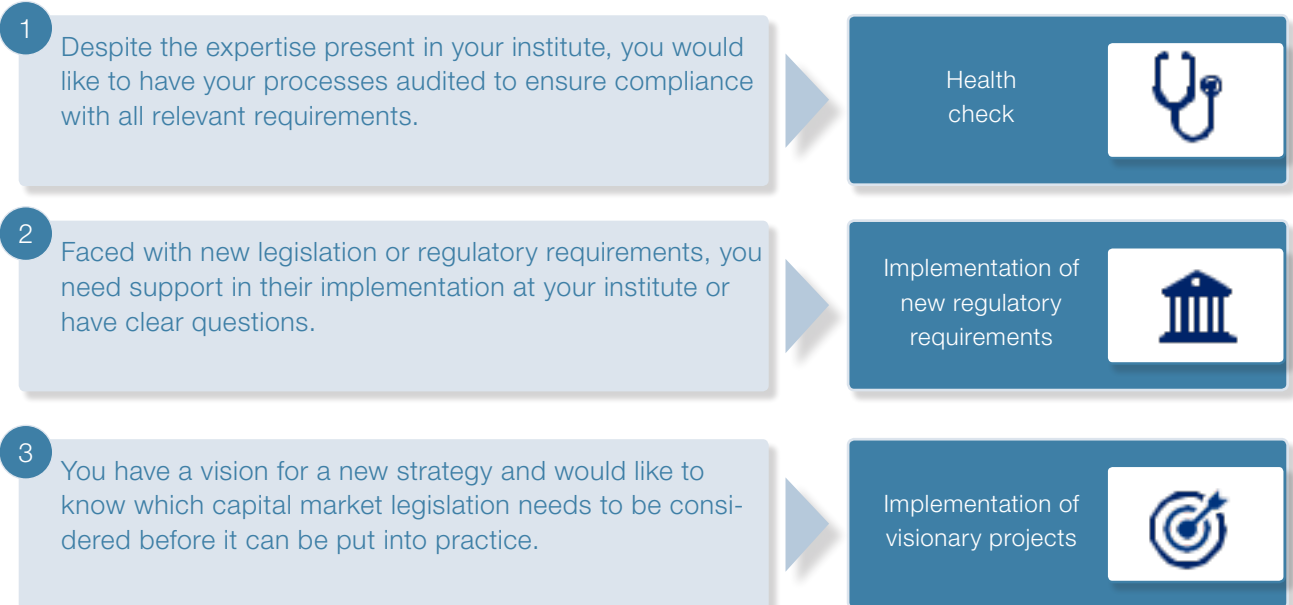
Status Quo

The capital market is among the most strictly regulated markets, so the implementation of relevant regulations and ongoing adherence are now among the most important tasks for your institute.

It follows, therefore, that your employees must understand a plethora of provisions under regulatory, securities and derivatives legislation and must apply them appropriately to your organisational structures and processes.

Our experts at Geissbühler Weber Consulting will gladly support you in the implementation of new regulatory requirements, the efficient and sustained preservation of compliance and hence in safeguarding your customers' interests. Besides MiFID II, the minimum requirements for the compliance function (MaComp) are currently at the centre of capital market compliance measures.

Three scenarios and tailored solutions



CAPITAL MARKET COMPLIANCE

Our services and your benefits

Health check



We show you to what extent your current processes and instructions comply with statutory requirements, where weaknesses or gaps may be lurking and how potential improvements and added efficiency can be implemented.

▶ Identified weaknesses

▶ Improved effectiveness and efficiency

Implementation of new regulatory requirements



Our experts support you in the implementation of requirements under new capital market legislation, giving due consideration of the individual circumstances, structures and procedures in place at your institute. We are also available to advise you on specific issues.

▶ Added value through expertise

▶ Best practices experience

Implementation of visionary projects



We support you in the roll-out of new business strategies and models (e.g. digitisation) and use the opportunity to analyse what needs to be done under capital market legislation to ensure successful implementation. Here, we invest our expertise in the technical, content, methodical, procedural and organisational aspects.

▶ Flexible deployment of external experts

▶ End-to-end process expertise

Thank you for contacting us



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