

# Compliance

## MARISK- COMPLIANCE

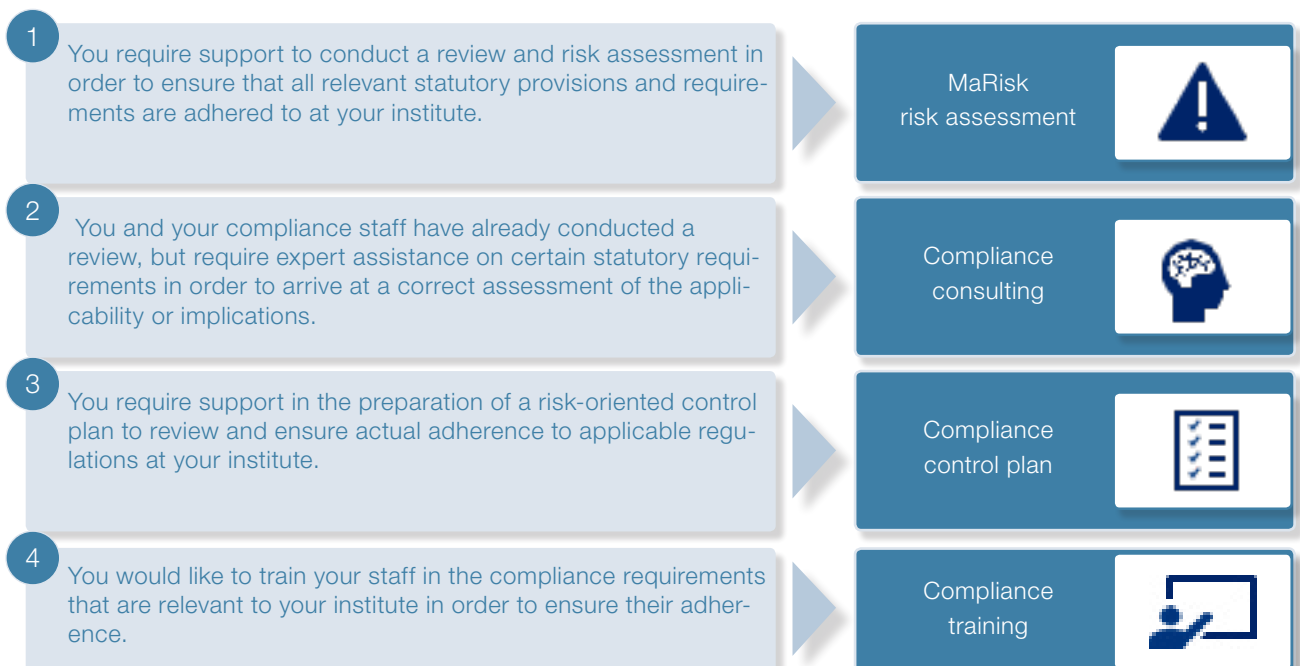
### Status Quo

The Federal Financial Supervisory Authority BaFin has defined minimum requirements for risk management (MaRisk) at credit institutes or financial services providers, which you must adhere to by means of a compliance function. In view of the increasing regulatory density, this function is necessary to counteract the risks of non-compliance with statutory provisions and requirements.

This is predicated on a regular risk-oriented identification of the key legal provisions. Moreover, the compliance function must seek to ensure reliable implementation of effective methods, processes and suitable controls to adhere to the relevant requirements and must therefore be included along with risk controlling when company processes or structures change or new products are introduced. Management is assigned an advisory role in MaRisk compliance.

At Geissbühler Weber Consulting, we will gladly assist and advise you in the management of the extensive requirement defined for MaRisk compliance.

### Four scenarios and tailored solutions



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## Our services and your benefits

### MaRisk risk assessment



Draw on our expertise in finance and compliance issues and benefit from our extensive experience. We will gladly assist in reviews and risk assessments for the identification of statutory provisions that are relevant to your institute and the attendant risks of non-compliance.

Industry expertise

Reduced risk exposure

### Compliance consulting



We use our long-standing experience to advise you and provide clear answers to topical issues, e.g. concerning the applicability of certain laws or their implications for relevant methods, processes and controls, or for your institute in general.

Independent assessment by experts

Efficient solutions

### Compliance control plan



As external consultants, we know where problems are particularly prevalent. We support you in the preparation of a risk-oriented control plan based on the findings of a MaRisk risk assessment that you provide or we perform together.

Best practices experience

Identified weaknesses

### Compliance training



We offer bespoke seminars on various relevant compliance requirements to ensure that your staff has sufficient knowledge to suitably implement and adhere to the statutory requirements.

Practical structure

Information on new legislation

## Thank you for contacting us



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