

Compliance Services in Switzerland

Introduction

Navigating today's dynamic regulatory environment is a critical priority for financial institutions. Many firms seeking to engage in regulated activities may find themselves lacking the in-house expertise or resources necessary to manage compliance effectively. IQ-EQ addresses this challenge by alleviating the operational burden of compliance management. Our services are designed to meet the stringent standards of FINMA and other global regulations, enabling your organisation to stay compliant while optimising operational efficiency.

Our clients

We work with a range of financial entities, including:

- Asset Managers
- Wealth Managers
- Family Offices
- Private Banks
- Financial Services Companies

Our compliance services

We provide a comprehensive suite of compliance solutions tailored to your organisation's specific needs. From developing compliance frameworks and remediation strategies to ongoing regulatory reporting, our services assist you to ensure you remain compliant. For firms requiring regulatory status, we also facilitate the process of obtaining licenses and registrations with FINMA, leveraging our network of experts.

Compliance outsourcing

We offer complete outsourcing of your compliance function, managing the regulatory obligations and processes while ensuring full compliance with regulatory standards. This approach enables your business to reduce operational overhead and focus on core activities.

Compliance assessment

Our assessments benchmark your compliance framework against regulatory standards and industry best practices, identifying areas for improvement to ensure robust compliance.

Compliance program development

We design customised compliance frameworks that include policy creation and monitoring mechanisms, keeping your organisation in alignment with all requirements.

Compliance training and education

Our tailored training programs provide your team with a deep understanding of regulations through a combination of quarterly virtual sessions, monthly updates, and annual in-person training.

Compliance monitoring and reporting

We continuously monitor your compliance activities to identify and address issues proactively, ensuring alignment with guidelines.

Data protection compliance

We implement data protection strategies in line with the Swiss Data Protection Law to safeguard client data and ensure regulatory compliance.

Reporting obligations

Our team prepares and submits mandatory annual anti-money laundering, risk, and compliance reports to FINMA and other stakeholders, including your board of directors.

International compliance consulting

With a global footprint, we offer support for firms operating across Europe, Asia, the UK, the Crown Dependencies, and the US, guiding them through complex cross-border regulatory landscapes.

Why choose IQ-EQ in Switzerland?



FINMA-licensed expertise

IQ-EQ meets the highest regulatory standards, ensuring reliability and regulatory assurance for our clients.



Experience you can trust

With decades of experience, we understand the compliance challenges faced by financial institutions and deliver solutions that keep your business compliant.



Tailored to your needs

Our services are customised to your specific regulatory requirements, making your compliance programs both effective and efficient.



Global reach

IQ-EQ's extensive network of professionals spans multiple jurisdictions, offering expertise across various asset classes and business lines.



Peace of mind

Partnering with IQ-EQ allows you to focus on your core business, with the confidence that your compliance requirements are expertly managed.



Technology-driven solutions

We leverage cutting-edge technology like MaxComply and gVue for real-time compliance monitoring and reporting, streamlining processes to improve speed and efficiency.

Key facts and figures*

People worldwide	Worldwide location	Assets under administration	Minimum senior team experience	Funds under administration
5800⁺	25	\$750⁺ bn	20yrs	800⁺

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