

Seminar 2012 General conditions

Seminar application

The application can be filed by fax, mail or online at www.pd-consulting.ch.

Number of attendees

The number of attendees will be between 10 – 40. The application of the participants are registered after receipt.

Duration of the seminar

The duration of the seminar is one day, from 10.00 AM until 16.30 PM.

Seminar costs

The seminar costs are CHF 650.00 (includes fee, documents, snacks and lunch).

Cancellation policy

50% seminar costs will be charged for cancellations prior to 5 weeks of seminar commencements, 100% for cancellation thereafter. Stand-in participants are accepted without further costs.

Cancellation of seminars

Seminars with too few registrations can be canceled. The participants will receive a replacement or a refund of the seminar fee.

Inhouse-Seminar

On request we offer a budget-friendly seminar to your personal needs. For further details: www.pd-consulting.ch.

Certificate

All attendees will receive a training certificate that is accepted by the revision inspection, SRO and the supervisory authorities.

Contact

Any questions concerning law, compliance and training? Please contact us for personal support.

PD-CONSULTING GmbH
Philippe Dové, lawyer, LL.M.
Länggass-Strasse 7
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CH-3001 Bern

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www.pd-consulting.ch

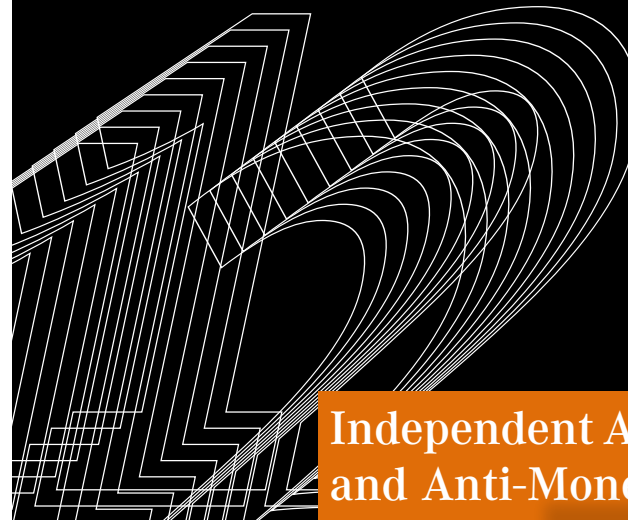
Berne, November 2011



PD-CONSULTING

RECHTSBERATUNG UND AUSBILDUNG FÜR FINANZINTERMEDIÄRE

SEMINAR SAAM 2012



Independent Asset Management and Anti-Money Laundering –

Duty of Due Diligence of the SAAM

June 8, 2012

Zunftthaus Schmiedstube, Bern

Seminar leader:
Philippe Dové, PD-CONSULTING GmbH



Verband Schweizerischer Vermögensverwalter | VSV
Association Suisse des Gérants de Fortune | ASG
Associazione Svizzera di Gestori di Patrimoni | ASG
Swiss Association of Asset Managers | SAAM



PD-CONSULTING

RECHTSBERATUNG UND AUSBILDUNG FÜR FINANZINTERMEDIÄRE

**Independent Asset Management
and Anti-Money Laundering –
Duty of Due Diligence of the SAAM –
Basic Seminar**

Target audience: Employe/e/s and auditors of Financial Intermediaries (FI), who are Member of the SAAM (obligatory for new SAAM members), employe/e/s of FI, who act as Asset Manager

Seminar ambition: The accurate application and compliance of the Code of Ethics and Professional Conduct, the Regulations Anti-Money Laundering SAAM (AML-R SAAM) and the legal requirements

Contents: **1. Fundamentals of the Code of Ethics and Professional Conduct of the Independent Asset Management**

2. Overview of the Swiss Anti-Money Laundering legislation

3. The Anti-Money Laundering regulation of the SAAM

- Duty of Due Diligence
- Duty of Clarify
- Delegation
- Duty to keep Records
- Organisational Measures
- Termination of the Business Relationship and Duty to Report

4. Case studies, exercises and solutions

5. The handling of regulations

- The penal Law
- The Anti-Money Laundering Act, AMLA

6. The consequences of the non-observance of the regulations

Consultant: Philippe Dové, lawyer, LL.M.
PD-CONSULTING GmbH

Brian Fischer, lawyer, Swiss tax expert
Bank Vontobel AG

Marion Bolli, business economist, CFP
Bank Vontobel AG

SEMINAR APPLICATION 2012

Please fill in block letters and return by fax No. **+41 (0)31 301 93 75**, or by mail **PD-CONSULTING GmbH, Postfach 5916, 3001 Bern**. You can also register online under **www.pd-consulting.ch**

1. ATTENDANT

Yes, I participate at the Seminar C3.1E: Independent Asset Management and Anti-Money Laundering – Duty of Due Diligence of the SAAM

June 8, 2012 Zunfthaus Schmiedstube, Bern

name first name

company titel, function

mailing address

ZIB, place

phone e-mail

member of SAAM yes no auditor of a member of SAAM yes no

place, date signature

2. ATTENDANT

Yes, I participate at the Seminar C3.1E: Independent Asset Management and Anti-Money Laundering – Duty of Due Diligence of the SAAM

June 8, 2012 Zunfthaus Schmiedstube, Bern

name first name

company titel, function

mailing address

ZIB, place

phone e-mail

member of SAAM yes no auditor of a member of SAAM yes no

place, date signature

Inhouse-Training: Yes, we are interested in a inhouse-training.