



ASSET MANAGERS & TRUST ORGANISATION



## BUILDING A PARTNERSHIP

**Independent Swiss Wealth Management Company** founded in 2013 with HQ in Geneva, offices in Zurich and in Lugano.

# What

MANTOR unites selected **Independent Asset Managers (IAM)** to reflect the fast changing environment of financial markets and evolving regulations.

# How

MANTOR's affiliated wealth managers are vetted through a rigorous process. The IAM becomes an **Independent Financial Auxiliary (IFA)** and remains the relationship manager to his/her client base within MANTOR. The IAM maintains his/her own company under a specific business agreement.

# Why

The sharing of centralised tasks and costs such as **Compliance, Risk Management, Insurance, Board Members, Market Analysis, Trading, Back Office** etc. with **efficient IT solutions**.

## We Offer

New business model which guarantees the autonomy of each individual wealth manager, while centralizing all legal and operational services.

500 *clients*

32 *dedicated financial auxiliaries*

CHF 1000 *mios* AUM

35 *custodians*

CHF 1.8 *mio* Share Capital

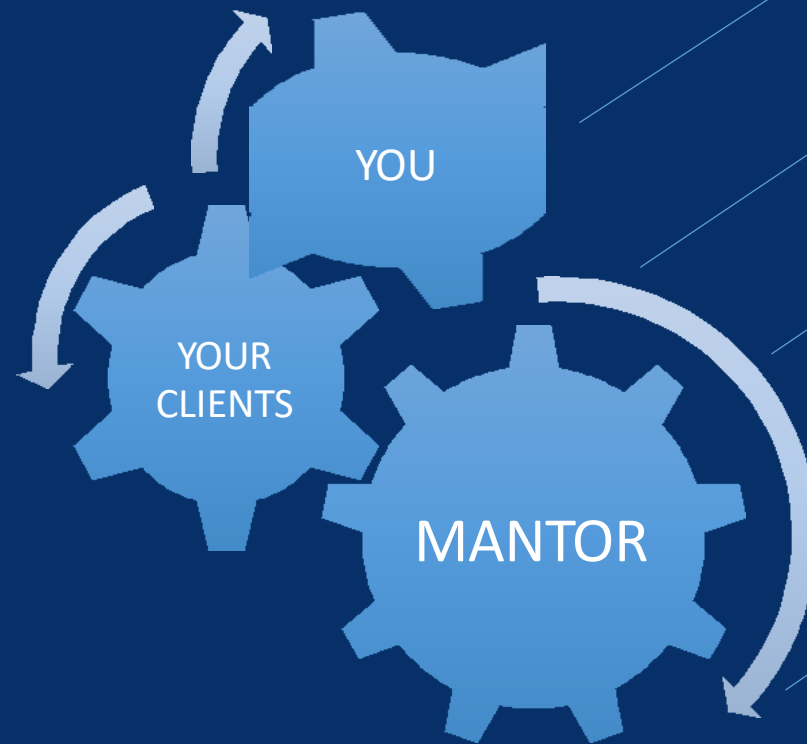
Be part of the MANTOR organisation,

The **Focus** is on your **Clients !**

# A solution for Wealth Managers

## "The Art of Association"

- Alexis de Tocqueville



Legal umbrella  
Profesional Insurance

Administration  
Bank-Office

Compliance  
Risk Management

Asset Management  
Assistance

Point of Contact for  
Custodian Banks & Regulators

Partner or Associate model

# Administration/Back-Office

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- ✓ Asset Management Mandates & related documentation in five languages
- ✓ Reconciliation of Fees & Commissions
- ✓ Due diligence framework and other processes
- ✓ Custodian bank & regulator's point of contact
- ✓ Efficient multi-bank consolidation service
- ✓ Centralised IT platform
- ✓ Third Party Agreements
- ✓ Monitoring of client profiles in central Database (CRM)
- ✓ Electronic Document Management (EDM)
- ✓ Assistance in entity structure for Independent Financial Advisors (IFA)

A Swiss made software that includes:

- ✓ A CRM module for the management of client data, including the whole KYC part;
- ✓ A portfolio management module including performance calculation, valuation, transaction monitoring, etc.
- ✓ A risk management module allowing dynamic monitoring of risk criteria such as “strategic limits by asset class or currency, concentration risk, etc” developed at the client, portfolio and transaction level.
- ✓ A compliance module including transactional alerts based on client’s risk, cumulative volume, respect of regulatory requirements such as FinSA, FinIA, MIFIDD II, AML, AMLA.
- ✓ A back-office module including activity and visit reports, profitability calculation for managers and portfolios, billing and expense management, client and portfolio reports, etc.

- ✓ Compliance and Risk Monitoring
  - ✓ SRO Licensing (PolyReg) & Code of Professional Conduct (Polyasset), OSFIN and FINMA
  - ✓ Ongoing KYC i.e. due diligence, AML Check, Polixis, sanctions and embargos SECO's lists
  - ✓ Legal & regulatory monitoring (AML, FinSa, FinIA)
  - ✓ Yearly regulatory AML Audit (regulators' point of contact)
  - ✓ Suitability and appropriateness Check (risk monitoring)
  - ✓ Training (AML, Cross border, etc)

So that you can **Remain focused !**

# Asset Management Assistance

Living with strong values - this is our DNA

- ✓ Tailored investment solutions
- ✓ Investment advisory
- ✓ Day-to-day Management Assistance
  - ✓ Risk Management
  - ✓ Investment proposals
  - ✓ Portfolio monitoring
  - ✓ Theme and Product oriented recommendations
  - ✓ Fund manager and product selection
  - ✓ Empowering Asset Managers
  - ✓ High level investment opportunities

# Custodians & Providers

## Trust and Quality

NON EXHAUSTIVE LIST OF CUSTODIANS



SOME OF OUR CURRENT PROVIDERS







# MANTOR

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## Stronger Together !