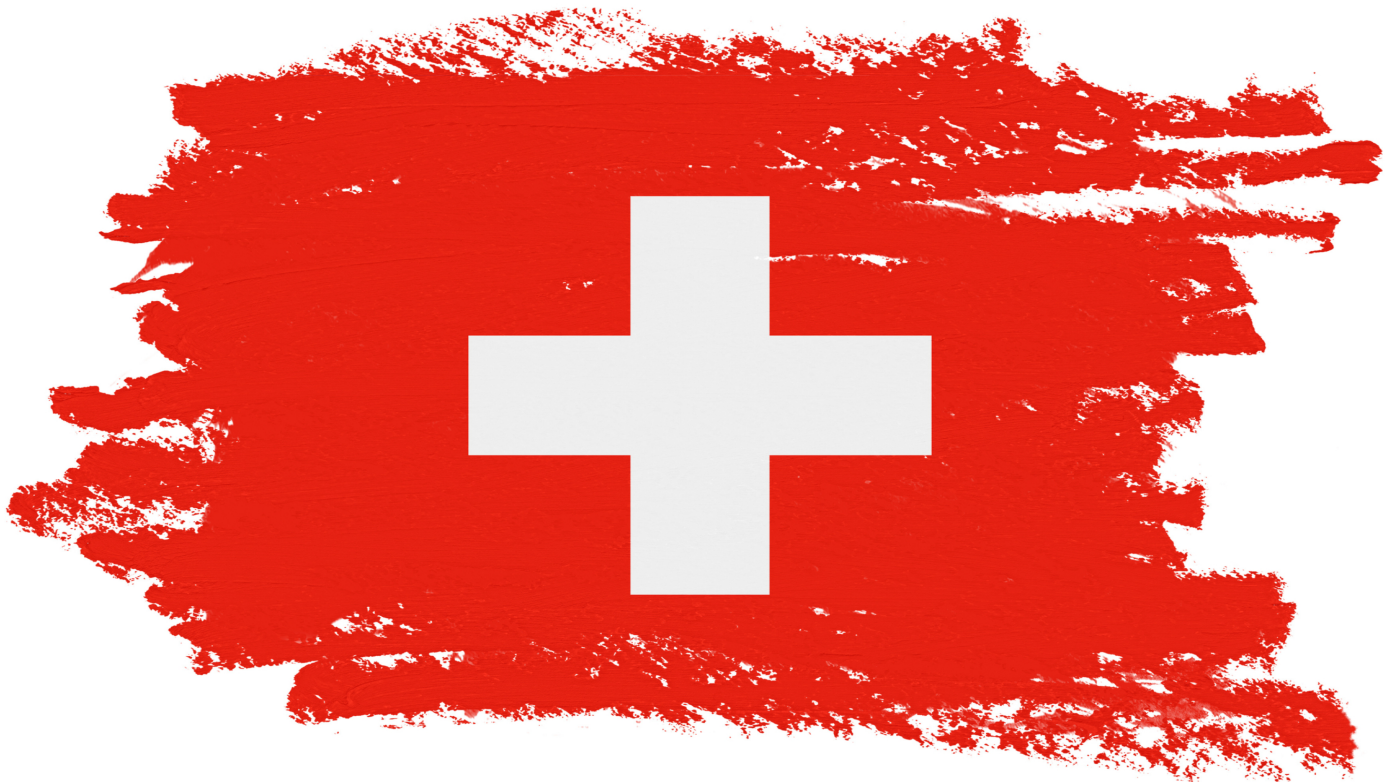


# 历史上获得金融管理局许

# CISA 资产管理业务



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## CISA

日内瓦一家获得美国金融市场管理局（FINMA）许可的 CISA SA（《集体投资计划法》-资产管理）公司有权开展与集体投资计划管理相关的一系列活动。

这些活动的开展严格遵守《集体投资计划法》（CISA）、《金融机构法》（FinIA）、《金融服务法》（FinSA）以及相关的金融管理局法令和通知。

CISA SA 的核心职能是在商业基础上管理集体资产，特别是

集体投资计划的投资组合管理

瑞士集体投资计划管理：包括积极管理各类瑞士集体投资计划的资产，如

- 契约型基金（例如，基金管理公司、托管银行和投资者之间以契约形式组织的投资基金）
- 可变资本投资公司 (SICAV)
- 固定资本投资公司 (SICAFs)
- 集体投资有限合伙企业
- 管理外国集体投资计划：为瑞士境内或来自瑞士的投资者管理外国集体投资计划的资产，前提是与外国监管机构签订了必要的合作和信息交流协议。
- 实施并监督所管理的集体投资计划的全面风险管理系统，确保遵守有关市场风险、信用风险、流动性风险、操作风险等方面的所有监管要求。这是一项法律上独特而关键的职能。
- 在商业基础上，代表瑞士职业养老金计划管理资产。这是对 FinIA 下 CISA SA 许可范围的重大扩展。

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- 除了核心的投资组合和风险管理外，CISA SA 还可以执行与其管理的集体投资计划相关的行政任务。这可能包括
- 基金会计。
- 资产净值 (NAV) 计算。
- 转让代理服务。
- 资金分配支持（通常与特许经销商合作）。
- 集体投资计划正常运作所需的其他业务和行政职能。

### TARGET PRICE

\$ 3,750,000

### GROSS REVENUE

\$ 0

### EBITDA

\$ 0

### BUSINESS TYPE

资产管理

### COUNTRY

瑞士

### BUSINESS ID

L#20250971

- 向客户提供投资建议，通常作为管理集体资产这一主要职能的辅助服务。这属于金融服务管理局的行为规则范畴。
- 虽然 CISA SA 的主要许可范围是管理，但它也可以向瑞士境内的合格投资者分销集体投资计划（瑞士和外国）。在瑞士向非合格（散户）投资者分销通常需要额外授权或指定代表。
- 涉及新集体投资计划产品的构思、结构设计和获得美国金融市场管理局（FINMA）批准，包括起草基金合同、公司章程和投资法规。
- 受美国金融业监管局（FINMA）直接和持续的审慎监管，需要健全的内部控制、合规框架和公司治理。
- 严格遵守瑞士反洗钱（AMLA）规定，包括严格的“了解你的客户”（KYC）和尽职调查程序。
- 为投资者的最佳利益行事并确保最佳交易执行的责任。
- 维持经金融市场管理局批准的组织结构、配备足够的合格人员、充足的最低资本和适当的自有资金。
- 定期向金融管理局报告财务状况、合规情况和活动。
- 在主要旨在保护投资者和确保透明度的法律框架内运作。
- 管理资产：约 3,000 万欧元管理资产

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