

# Financial Services

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We offer a full range of transactional, regulatory and investigative services to the financial industry in Switzerland and abroad.

## Our expertise

For more than 100 years, Financial Services have been one of our core practice areas. The Financial Services team is recognized in Switzerland as a leader in its field by all relevant international legal directories. Swiss and foreign financial institutions, from banks, securities dealers and insurance companies to asset managers, investment firms and other financial service providers, government institutions, self-regulatory organizations and investors consult us for advice on national and international transactions (including for structuring purposes), regulatory and compliance matters, as well as investigations and proceedings.

We provide creative and efficient solutions for complex assignments and work closely with our teams in Corporate, Tax and Dispute Resolutions.

[Visit our Swiss Financial Market Regulation site to benefit from the latest guidance, tailored to your specific financial sector. →](#)

## Our services

We offer advisory services in five discrete areas:

### **Regulatory/compliance regime and investigations/litigation:**

advising on all financial services and anti-money laundering regulations, including business operation-related matters, particularly where these assist our clients to develop and implement compliance systems and communicate effectively with regulatory authorities;

navigating through regulatory audits, considering the impact of proposed legislative changes and representing clients vis-à-vis regulatory authorities to obtain the necessary authorizations and licenses, and in all other types of investigative, litigious or other administrative proceedings.

### **Commercial banking and financing:**

advising on all aspects of the lending business, including the structuring, drafting and negotiation of a full range of loan transactions (acquisitions, asset-based, leveraged and syndicated financing, etc.), as well as debt instruments and alternative financing. Pestalozzi is an associate member of the Loan Market Association.

### **Capital markets and investment banking:**

structuring the issuance, listing and distribution of debt and equity instruments, as well as structured financial products. We are accredited as experts for securities listings with the SIX Swiss Exchange.

### **Asset management and investment funds:**

providing advice on the formation, distribution and management of investment funds, exchange-traded funds (ETFs), private pooled funds and alternative funds, as well as related fund reorganization;

advising on registration issues associated with the investment fund and asset and wealth management industry; advising asset and wealth managers and corporate finance departments on ISDA Master Agreements and other similar agreements, including advice on regulatory matters (EMIR/FMIA). Pestalozzi is a member of the Swiss Funds & Asset Management Association and an associate member of ISDA.

### **Mergers and acquisitions:**

Advice and representation for transactions in the sector, including for the purchase and sale of companies and assets in the financial services industry.

### **Insolvency and restructuring:**

advising financial institutions and debtors in distressed situations and possible restructurings; representing financial institutions and their creditors in insolvency proceedings.

## **Team**

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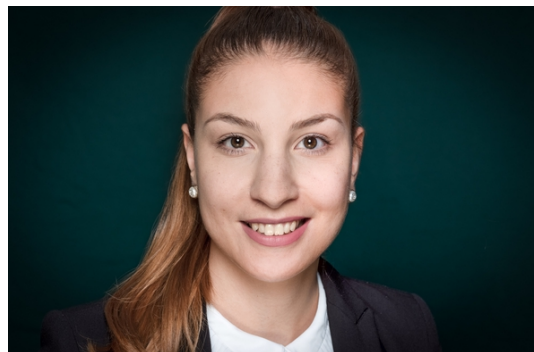


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