

MASTER OF SCIENCE IN WEALTH MANAGEMENT

MAÎTRISE UNIVERSITAIRE EN GESTION DE PATRIMOINE

INTERNATIONAL ENFORCEMENT IN FINANCIAL MARKETS (5137)

Prof. Urs ZULAUF

6 crédits

Semestre : printemps

Teaching language: English

Descriptif

Since 2009 US and international financial firms have paid over USD 200 billion of fines to US authorities. Sound management of legal, compliance and enforcement risk has become a key factor of success for banks and other financial firms, their management and staff. This course will focus on regulatory and criminal enforcement against financial firms and their managers and staff in the US, the UK and Switzerland. It will include Swiss and US guest speakers from authorities, law firms or corporate legal and address:

1. Case studies of the LIBOR and Forex manipulations and the US / Swiss cross border bank client tax conflict.
2. Scope and actors of financial regulation enforcement
3. Cross 'border enforcement, conflict of laws, cooperation, double jeopardy
4. Enforcement against firms and individuals
5. Are financial firms 'too big to jail'?
6. Big topics and trends in international financial regulation enforcement
7. Cooperation expectations and internal investigations: Investigating against yourself?
8. FINMA enforcement : tools, governance, procedure, big cases, trends
9. Swiss Attorney General enforcement against financial firms and their staff
10. Legal and compliance risk management