

Max Mustermann



Experience

03.2012 - 01.2018

Managing Director Legal at Swiss Retail Bank

Geneva, Switzerland

Managed cross-jurisdictional and regulatory issues.

Advised on all aspects of client complaints, litigations and contentious issues at Swiss and international level, including supervision of outside counsel.

Reviewed and drafted various agreements including distribution agreements, MSAs and OTC Agreements, banking documentation and internal directives.

Followed and analysed regulatory developments impacting the Bank.

Participating in various project, including implementation of internal training.

Provided legal advice to Management, Front Desk, HR, Credit, Operations and IT department on all legal matters pertaining to Private Banking and Asset Management.

Oversaw Swiss and foreign civil, criminal, administrative and insolvency/bankruptcy proceedings.

04.2008 - 02.2012

Legal Counsel at Subsidiary of a German Institutional Investment Company

Zurich, Switzerland

Advised all business units in the area of institutional portfolio management (banks, insurance, pension funds etc).

Advisory on corporate matters, contract law, labour law, data protection and human resource issues. Acted as Corporate secretary of the Board of Directors.

Frequent exchange with the Swiss regulator (FINMA) and other public authorities.

Provided legal support for all matters pertaining to Swiss and foreign Collective Investment Schemes (CIS).

Communicated with regulator and industry peers for CIS (FINMA, SFA etc).

Held role of Data Protection Officer.

Advised trading and sales desks on all legal issues (including cross-border and regulatory matters) relating to securities lending, the repo business and full range of OTC products and linked credit and collateral issues.

Undertook legal structuring of financing transactions involving tailor-made securities lending agreements as well as collateral arrangements for a varied investment and private bank client base.

Advised on special OTC regulatory issues regarding pension funds, trusts and funds.

07.2002 - 03.2008

Legal Counsel at Asset Management Branch of a Multinational Swiss Bank

Geneva, Switzerland

Provided legal advice in all matters pertaining to life cycle of CIS (set-up, launch, registration and maintenance including mergers and liquidation within the Asset Management Division.

Drew up and reviewed product documentation (e.g. prospectus, articles of association, investment advisory agreement, etc.) for white label business as well as for internal clients.

Identified, analyzed and reviewed strategic general and specific legal and regulatory developments and suggestion of respective measures, and provision of internal trainings on such developments.

Identified wealth structuring needs and provision of in-depth expertise on fiduciary structures (mainly discretionary).

Identified and analysed opportunities for liquidity, business succession and legacy planning.

Advised on estate planning, asset consolidation and management, purchase and sale of multi-jurisdictional holdings etc.

Provided service to high net worth clients, outside professionals, relationship managers, accounting and risk department for request related to trusts and private investment companies for the Asia Pacific market (mainly Hong Kong and Singapore).

12.1998 - 06.2012

Associate at Multinational Law Firm

Zurich, Switzerland

Assisted in drafting of international contracts, legal opinions and recommendations for banks and companies in the field of banking and commercial law.

Conducted research in the field of arbitration.

Organised seminars.

Provided legal counselling in matters relating to banking, commercial, inheritance, debt collection and bankruptcy, labour and social security and criminal law.

Reviewed loan and deposit agreements.

Structured financial transactions for PWM clients together with credit and risk management.

Handled legal proceedings including requests for legal assistance in criminal and civil matters and legal disputes including prosecution in criminal and civil law cases.

Advised national and international clients with respect to corporate & M&A transactions (including reorganization and restructuring), real estate transactions and corporate tax law.

Knowledge and practical experience in energy law, in particular as regards regulatory law, M&A transactions, taxes and duties in the field of energy law.

Education

Bar admission

Admitted to the Bar of Berne (1998)

09.2012 - 09.2013

LL.M. at Fordham University School of Law

Fordham, UK

International Business Law, focus on Compliance

09.1995 - 07.1997

Masters in Law at University of Berne

Berne, Switzerland

09.1995 - 07.1997

Bachelor of Law at University of Fribourg

Fribourg, Switzerland

Languages

French (c2) | English (c1) | German (c1) | Spanish (a1)