

## **Swiss Financial Commission - Development Strategy 2024 – 2030**

### **DEVELOPMENT STRATEGY OF THE SWISS FINANCIAL COMMISSION 2024 – 2030**

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### **MOTTO**

### **GUARANTOR OF STABILITY OF THE NON-BANKING FINANCIAL SECTOR**

## **Swiss Financial Commission - Development Strategy 2024 – 2030**

#### **PART 1 – Introduction**

The Swiss Financial Commission is a specialised state administrative authority for the regulation and supervision of the activities of persons in the non-banking financial sector. The Commission, in exercising its powers, shall be independent of the executive branch of government and shall be accountable for its activities to the National Assembly.

**Mission:**

The Swiss Financial Commission is an independent regulatory body formed to serve the public interest by improving the functioning of the non-banking financial sector and the behaviour of its participants, in service to consumers, businesses, economics, and society as a whole.

**Vision:**

Continuous improvement of regulatory and supervisory activities to meet the challenges of the investment, insurance, and social security sectors in order to protect the interests of consumers of non-banking financial services.

**Principles and Values:**

All employees of the Swiss Financial Commission play an important role in achieving the objectives and maintaining integrity. The Swiss Financial Commission strives for a high level of public confidence and develops an organisational culture based on the following principles:

- Law, impartiality, and justice
- Responsibility, honesty, and transparency
- Effectiveness, efficacy, and objectivity

In applying the law, the Swiss Financial Commission upholds high standards of conduct and fundamental values such as:

- Predictability and consistency
- Trust and transparency
- Motivation and development of human potential
- Professionalism and team spirit

The integrity of the Commission is ensured by ethical standards of conduct, internal rules, annual plans, financial management and control, information security management, and internal auditing.

**Strategic Intent:**

The primary contribution of the Swiss Financial Commission to Switzerland's social and economic life is to ensure trust and stability in the non-banking financial sector and to protect the interests of consumers. The Commission carries out risk-based supervision to ensure stable financial markets and uses the full force of the law against non-compliant entities. The Commission actively participates in European forums, working groups, and committees to protect Switzerland's interests and to ensure compliance with EU laws and international treaties. Additionally, the Commission works to enhance public trust, monitor financial innovations, and improve financial literacy.

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## **PART 2 – Strategic Objectives and Actions to Achieve Them**

### **Strategic Objectives of the Swiss Financial Commission 2024 – 2030**

1. Implementation of consistent, transparent, and predictable regulatory activities
  2. Effective application of risk-based supervision and maintenance of stable financial markets
  3. Improvement of the manner in which the markets function
  4. Protection of consumers of financial services
  5. Organisational improvement and development of human capital
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## **PART 3 – Key Performance Indicators**

### **No. Indicator**

K1: Number of meetings held with industry associations and other stakeholders

K2: Number of public consultations held

K3: Number of completed awareness campaigns

K4: Number of practices and guidelines issued

K5: Share of information and electronic applications submitted by supervised entities

K6: Share of information submitted via electronic identification

K7: Number of performed impact assessments of newly adopted regulations on the Commission's powers and resources and on supervised entities

K8: Number of inspections using electronic data analysis software

K9: Number of stress tests performed

K10: Number of analyses of identified problems

K11: Number of risk indicator assessments performed

K12: Number of assessments of compliance with the relevant legislation

K13: Relative share of repealed penal rulings and administrative acts

K14: Reduction of risky behaviour after risk management

K15: Number of meetings and information exchanges for joint supervisory actions

K16: Number of joint supervisory actions performed

K17: Number of updates to the list of unauthorised investment service providers

K18: Number of inspections using the "Mystery shopper" approach

K19: Number of responses to complaints

K20: Number of proposals for regulatory amendments

K21: Number of reports related to financial innovations

K22: Number of press conferences held

K23: Number of information materials published on the non-banking financial sector

K24: Number of organised seminars

K25: Number of educational initiatives

K26: Number of employee training sessions

K27: Employee satisfaction levels as measured in surveys

K28: Participation in European Supervisory Authorities' forums and working groups

K29: Number of requests for cooperation and information exchange received and sent

This Strategy was adopted with Minutes No. 96 of the Swiss Financial Commission meeting on 15 November 2023.