

# Ochsner Law

## Curriculum Vitae Dr. Stephan Ochsner

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Date of birth: 21 September 1967  
Nationality: Swiss  
Address: Im Wingert 20, 9494 Schaan  
Civil status: married  
Children: two sons (born 2007 and 2009)



## Experience

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### **Ochsner Consulting Establishment, Schaan / Ochsner Law, Schaan and Igis**

February 2013 – today

Owner of Ochsner Consulting Est, LI-9494 Schaan (www.ochsner-consulting.com); advisory-, management- and training services for financial institutions and other enterprises as well as mandates as member of a board of directors, member of a foundation board, trustee or protector

Attorney at Law (Member of the Swiss Bar Association), CH-7206 Igis (www.ochsner-law.ch)

Attorney at Law (Member of the Liechtenstein Chamber of Lawyers), LI-9494 Schaan (www.ochsner-law.li)

#### **Mandates**

- 2014 – 2019: President of the Supervisory Commission of VQF (Financial Services Standards Association; biggest self regulatory organisation in Switzerland), Zug
- Since 2017: Director of the Association of Independent Asset Managers, Liechtenstein
- Since 2019: Investigator of the Liechtenstein Institute of Professional Trustees and Fiduciaries
- Mandates of the Government of the Principality of Liechtenstein re. various projects concerning the financial center

#### **Special topics**

- AML / CFT
- Law about banks and asset managers
- Law about fiduciaries and trustees
- Automatic exchange of information in tax matters (CRS) / FATCA
- Data protection, in particular General Data Protection Regulation (GDPR)
- Fintech / E-money / cryptocurrencies / blockchain

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### **Kaiser Partner, Vaduz and Zollikon**

May 2008 – January 2013

November 2011 – January 2013:  
Managing Director Governance, Risk & Compliance of the Group / CEO Kaiser Partner Financial Advisors Ltd. (SEC registered entity)

2009 – October 2011:  
CEO Kaiser Partner Trust Services

May 2008 – December 2008:  
CEO Kaiser Partner Management Services

In addition: Member of the Board of Directors (until May 2014):

- Kaiser Partner Privatbank Ltd., Vaduz
- Kaiser Partner Trust Services, Vaduz
- Kaiser Partner Financial Advisors Ltd., Zollikon

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## **CEO Liechtenstein Financial Market Authority**

January 2005 – January 2008

Integrated and independent authority; responsible for banking-, securities-, insurance- and AML regulation and -supervision and the international collaboration in this regard

Regulation: Implementation of international standards into national law (e.g. FATF 40, EU-Directives, etc.)

Supervision of approx. 2000 financial market participants

Responsible for the IMF "Offshore Financial Center Assessment" in Liechtenstein 2007; expert in AML country assessments of the FATF (Russia) and the Council of Europe (Albania and Cyprus)

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## **Director of the Due Diligence Unit, Liechtenstein**

July 2002 – December 2004  
Reporting directly to the Head of Government

Responsible for AML regulation and supervision and the international collaboration in this regard (FATF / IMF / Council of Europe); responsible for the IMF "Offshore Financial Center Assessment" in Liechtenstein 2002

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## **Head Legal & Compliance Redsafe Bank, Zurich**

July 2001 – June 2002

Setting up and operating a pure internet bank (subsidiary company of Swiss Life)

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## **Graubuendner Kantonalbank**

December 1994 – June 2001

2000 – June 2001:  
Head Legal / Chief Compliance Officer

1996 – 1999:

Head Legal (including Debt Collection and Compliance)

1994 – 1995:

Legal Officer

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## **Legal internships in law firms**

1991 – 1992:

- Clavadetscher, Raschein & Bonorand, Chur (several months)
- Fiedler & Forster, Frankfurt on the Main (one month)
- Thomas & Associés, Paris (one month)

## **Education**

2011:

Harvard Business School: Advanced Management Program: "Transforming Proven Leaders into Global Executives" (2 months)

2002:

Termination of the post graduate studies in "International Business Law (LL.M.)" at the University of Zurich

1999:

Final examination to become a lawyer

1997:

Doctorate ("The prosecution of the fare dodger") at the University of Zurich

1994:

Final examination at the Legal Faculty of the University of Zurich

## **Languages**

- German (first language)
- English (fluent)
- French (good)
- Italian (good)