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Mediator Portrait

Daniel Glasner

Swiss

Born December 1956, Married, father of two
Fit & Proper (Anti Money Law / LBA Art.14 let.c.)

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Daniel GLASNER is an Accredited Mediator by Centre for Effective Dispute Resolution, CEDR and by the Swiss Chamber of Commercial Mediation "SCCM". He completed the Advanced Mediation Skills Course of Edwards Mediation Academy, California.

Dispute prevention, Conflict management and resolution

He specializes in mediating financial disputes in the areas of wealth management notably in financial investment advisory and in discretionary portfolio management, as well as in Foreign Exchange performed by Private and Commercial Banks, Asset Managers and by Independent Financial Advisors.

From a multicultural family origin, having been raised, lived and worked in 3 continents, this background allows Daniel Glasner to establish straightforwardly a rapport with a diversity of people from various roots. He speaks fluently French, English and Spanish, and at very ease with Italian and German. He holds a Degree of Master of Sciences, HEC and a Degree of Master of Arts, Political Sciences, both completed at University of Lausanne, Switzerland.

Banking, Financial and Asset Management expertise

Daniel Glasner is the Founder and Managing Director of Action Finance SA, established in 2004 in Geneva. Action Finance has assisted clients in setting up, managing and growing their wealth management business. Among other, he is responsible for legal and regulatory compliance, including all aspects of money laundering. He is an AML Compliance Officer and a Risk Manager (customer classification, information provided to the customer, suitability, and appropriateness of investments with the customer's profile). From its inception until 2019, Action Finance was authorized & licensed by FINMA the Swiss Financial Market Supervisory Authority to distribute collective investments to private, professional and institutional clients.

Daniel Glasner has combined a nearly 40 year career starting as a broker in in Chicago in the financial futures and options markets, then setting up a Market Making operation in options on foreign exchange in Basel for a major Swiss Bank, thereafter as an Executive Member of the Board and Advisor to the Investment Committee of a Securities Dealer with several subsidiaries in Switzerland, ultimately as the CEO in a demanding turnaround situation of an Independent Financial Advisor in Geneva who was granted under his leadership a Securities Dealer license and then a Swiss Banking license, and lastly as Founder of an Independent Financial Advisor and a Mutual Fund Distributor.

He is a regular writer, speaker and moderator of financial and regulatory events, including being on panels.

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Independent Financial Advisor

Distributor of Collective Investments Schemes

Authorized & Licensed by FINMA

the Swiss Financial Market Supervisory Authority



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Among tasks performed:

- Act as an Expert Financial Evaluator, nominated by a preliminary investigation judge (former 1st public Federal Prosecutor) to assist him about a suspicion of an insider trading case involving Clariant and Hoechst, which was reported by the Swiss Securities Exchange.
- Audit and assess how competently banks or Independent Financial Advisor have managed the portfolio of clients (such as in the Bernard L. Madoff case) and to calculate the damage suffered.
- Contact the defendant party to try finding a negotiated settlement agreement.
- Advise attorneys on foreign exchange technical matters arising from the unexpected Swiss National Bank decision on 15 January 2015 to discontinue the support of the euro at EUR/CHF 1.20 rate.

Mediation style and approach

Daniel Glasner' outgoingness, combined with a good conversational manner and a nice touch of humor allows the parties space to speak openly which gives rise to them to naturally disclose to him additional information at an early stage of the mediation process.

His style is commercially direct, with the ability to rigorously reality test the positions, needs, concerns and interests of the parties. He is dynamically seeking that both parties negotiate their best deal.

Practice areas

Asset Management, Banking, Brokerage, Financial Advisory, Foreign Exchange, Fund Distribution, Futures & Options, Professional Financial Liability Insurance, Mortgages, Mutual Funds – ETF, Portfolio Management, Structured Products, Private Equity, Securities Dealing, Inheritance, Wealth Management, notably in financial investment advisory and in discretionary portfolio management (in traditional bonds & shares as well as in Hedge Funds).

Professional Memberships

- **Swiss Chamber of Commercial Mediation "SCCM"**, <https://skwm.ch>
- **Former President (2008-2010) of the Swiss Association of Independent Financial Advisors "GSCGI"**; Member of the Professional Liability Insurance Commission, Member of the Communication and Public Relations Commission. GSCGI's Code of Conduct has been recognized by FINMA in 2009), www.gscgi.ch
- **Groupement des Compliance Officers de Suisse Romande et du Tessin, "GCO"**, an association of more than 180 Professional Compliance Officers; **Member of the Asset Management and Securities Dealing Group**, www.gco-association.ch
- **Former Secretary General and Member of the Executive Committee, CIFA, Convention of Independent Financial Advisors**, (A non for profit Foundation, a Non-Governmental Organization "NGO", in general consultative status with the Economic and Social Council of the United Nations "ECOSOC", www.cifango.org
- **Founder and Managing Director, Action Finance SA, Geneva** www.actionfinance.ch