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Mediator Portrait

Geneva, August 2020

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

Daniel Glasner is Ombudsperson of Ombudsman SCAI, Swiss Chamber's Arbitration Institution, according to the FinSA, recognized by the Federal Finance Department, Bern,

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 performed by Private and Commercial Banks, Asset Managers and by Independent Financial Advisors. Dispute can also arise when executing orders in the stock exchanges, foreign exchanges, as well as in margin calls, stop losses. Since June 2020, Daniel Glasner is a Judge Assessor to the Geneva Criminal Court.

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.

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, Margin calls, Stop loss, 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).

Banking, Financial and Asset Management expertise

Daniel Glasner has built up almost a 40 years professional carrier as a

- Broker in Chicago in the financial futures & options exchanges
- A Market Maker in foreign exchange options in Basle for a major Swiss Bank

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- Member of the Top Executive Management and of the Investment Committee of an Independent Financial Advisor with several branches in Switzerland who became under his management a Securities Dealer licensed by the Swiss Federal Banking Commission
- CEO of an Independent Financial Advisor in a delicate a turn-around situation who became under his management a Securities Dealer and received thereafter a Swiss banking license from the Swiss Federal Banking Commission, and finally
- Founder and Managing Director of an Independent Financial Advisor (Action Finance SA) in Geneva who benefitted from 2004 until 2019 of a Distributor of Collective Investments License granted by Swiss Federal Banking Commission, www.actionfinance.ch

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

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 due to a poor accomplishment of a portfolio management mandate or due to a liquidation of securities acquired principally by assignation of short puts, financed by a margin account (*credit lombard*)
- 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.
- Among other, he was 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).

Independence

As a sole founder, employee and Managing Director of Action Finance SA, Daniel Glasner enjoys full autonomy and independence from any client of Action Finance SA. He is not subject to a relationship of subordination or partnership. Whenever a mandate is opened, Daniel Glasner nevertheless carries out a complete check-up in order to verify his independence status and the absence of any conflict of interest or circumstance that may be perceived as such.

Professional Memberships

- **Swiss Chamber of Commercial Mediation "SCCM"**, <https://skwm.ch>
- **Honorary Member and 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 is recognized by FINMA), 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

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