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Daniel Glasner

Swiss, born December 1956, divorced, father of two
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He is an **accredited Mediator by CEDR**, Centre for Effective Dispute Resolution, in London and by the **Swiss Chamber of Commercial Mediation "SCCM"**. He completed the Advanced Mediation Skills Course of **Edwards Mediation Academy**, California.

He is an **accredited Ombudsperson by the Federal Department of Finance** in Bern in conformity with the Swiss Financial Services Act (FinSA). He acts as an **Independent Mediator** in cases administered under the Rules of Mediation Procedure for Financial Services at the **Swiss Arbitration Centre**. <https://www.swissarbitration.org/centre/>

Education

He holds a **Master of Sciences** degree, **HEC** in Business Administration and a **Master of Arts** degree in **Political Sciences**, both completed at University of Lausanne, Switzerland. He speaks fluently French, English, and Spanish, and at very ease with Italian and German. He is a regular writer, speaker, and moderator of financial and regulatory events, including being on panels.

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 also arise when executing orders in the stock exchanges, foreign exchanges, as well as in margin calls, stop losses.

Banking, Financial and Asset Management expertise

Daniel Glasner is the Founder and Managing Director of DANIEL OSCAR GLASNER SA, previously Action Finance SA, established in 2004 in Geneva. Action Finance has been authorized & licensed until 2019 by the Swiss Banking Commission and FINMA, the Swiss Financial Market Supervisory Authority to distribute collective investments to private, professional, and institutional clients.
www.actionfinance.ch

Daniel Glasner has assisted Asset Managers 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 accredited AML Compliance Officer and a Risk Manager. He is an advisor in Mergers & Acquisitions transactions between independent Asset Managers.

Professional career

Daniel Glasner has combined a nearly 40 year career, starting as a broker 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.



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Among other tasks performed:

- Act as an Expert Financial Evaluator, nominated by a preliminary investigation judge (former 1st public Swiss 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 expertly banks or Independent Financial Advisors have managed the portfolio of clients (such as in the Bernard L. Madoff case) and 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.
- 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, CFD, 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).

Professional Memberships

- **Swiss Chamber of Commercial Mediation "SCCM"**, <https://skwm.ch>
- **Former President (2008-2010) of the Swiss Association of Independent Financial Advisors "GSCGI"**; 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 Swiss Foundation, a Non-Governmental Organization "NGO" in general consultative status with the Economic and Social Council of the United Nations" ECOSOC", www.cifango.org

Geneva, January 2023