



Dr. iur. Florian L. Steiner

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Languages

German, English

Expertise

Dr. Florian Louis Steiner advises on the entire range of financial market law and regulation. Foreign and domestic banks, asset managers and fund management companies, as well as family offices and UHNWI are among his clients.

He regularly advises and guides clients through the proceedings for obtaining authorization to operate in the Swiss financial market, representing them also before the Swiss Financial Market Supervisory Authority FINMA and self-regulatory organizations. He has profound expertise in collective investment schemes regulation, including offerings and structuring of investment funds.

Florian is experienced in complex internal investigations, enforcement proceedings before FINMA, and anti-money laundering issues, stock exchange disclosure obligations, insurance regulations, and M&A transactions in the financial sector. In addition, a special emphasis of his practice lies on contracts law and complex securitization structures for a broad range of collateral, including intermediated securities (Bucheffekten). Florian holds a PhD and was a Visiting Researcher at Harvard Law School. He regularly publishes in his fields of expertise.

Banking, Finance & Regulatory

Commercial

Dispute Resolution

Corporate / M&A

Private Equity

Career

- 2020 Senior Associate, Niederer Kraft Frey
- 2017 Associate, Niederer Kraft Frey
- 2016 Visiting Researcher at Harvard Law School
- 2015 Associate with a Business Law Firm in Zurich
- 2013 Clerk with District Court of Uster
- 2011 Junior Associate with a Business Law Firm in Zurich
- 2008 Research and Teaching Assistant to Prof. Dr. iur. Urs Bertschinger, Academic Chair for Private Law, Corporate Law and Financial Markets Law, University of St. Gallen
- 2007 Teaching Assistant to Prof. Dr. iur. Philippe Mastronardi, Constitutional Law, University of St. Gallen

Education

- 2014 Admitted to the Bar (Rechtsanwalt)
- 2012 Dr. iur. HSG, University of St. Gallen
- 2008 M.A. HSG in Law, University of St. Gallen
- 2006 B.A. HSG in Law, University of St. Gallen

Speaking Engagements

"Praxis zum Finanzmarktaufsichtsrecht" (Practice within the Financial Market Supervisory Law), held at the St. Gallen Conference for Financial Market Regulation 2012 (November 6, 2012), Executive School of Management, Technology and Law (ES-HSG), University of St. Gallen, Conference venue: Convention Point of the SIX Swiss Exchange, Zurich"

Publications

- Bertrand G. Schott, Florian L. Steiner, "Kommentar Artikel 9-11 FINIG" (Comment Article 9-11 FINIG), in: Sethe/Bösch/Favre/Schott (Hrsg.), Schulthess Kommentar, Kommentar zum Finanzinstitutsgesetz FINIG, Zurich 2021
- Sandro Abegglen, Christoph Balsiger, Francois M. Bianchi, Luca Bianchi, Simon Bühler, Anja Bürgisser, Thomas A. Frick, Marco Häusermann, Thomas Hochstrasser, Jael Leutwyler, Martin Schaub, Bertrand G. Schott, Florian Steiner, Yannick Wettstein, Melanie Wyss
Switzerland's New Financial Market Architecture (3rd Edition / 2019), in: NKF Publication #21
- Thomas A. Frick, Florian L. Steiner, "FinTech: Switzerland is gearing up", in: Banking Law Newsletter August 2017, International Bar Association Legal Practice Division, pp. 26 – 28
- "How Switzerland responds to «FinTech» (and the key takeaways for lawmakers internationally)", Online Publication, www.regulation-y.com, 5 May 2017
- "Zur Revision des Bucheffektengesetzes" (Regarding the Amendments of the Federal Intermediated Securities Act), in: Gesellschafts- und Kapitalmarktrecht 2016, pp. 336 – 348
- Commentary of article 35 of the Federal Intermediated Securities Act, in: Heinrich Honsell/Nedim Peter Vogt/Rolf Watter (Publishers), Basel Commentary Securities Law, Basle 2012
- "Besicherung nach dem Bucheffektengesetz" (Secured Transactions after the Federal Intermediated Securities Act), PhD Thesis St. Gallen 2012