

and understanding the drivers of performance variations.

- Regulatory Compliance Check:** Compliance with all relevant regulations, including those specifically governing tied assets, is checked. This includes ensuring that tied assets are adequately diversified, secured, and aligned with the obligations they are meant to cover.
- Documentation and Reporting:** Detailed documentation of the evaluation process and outcomes is prepared. This includes financial statements, risk management reports, and compliance reports. These documents are essential for internal audits, regulatory reviews, and informing stakeholders.
- Adjustments and Rebalancing:** Based on the evaluation, adjustments may be necessary to align the portfolio with the investment strategy, risk appetite, and regulatory requirements. This could involve rebalancing asset allocations, modifying risk controls, or changing investment tactics.
- Submission to Regulatory Bodies:** The final step involves submitting the evaluation report and other relevant documentation to regulatory bodies, such as FINMA. This submission typically includes detailed descriptions of the assets, their valuations, and compliance with the tied assets regulations.

These steps ensure that the investment portfolio is not only compliant with regulations but also optimally positioned to meet the insurer's financial obligations and strategic objectives.



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