



Patrick Schleiffer

Partner, Co-Head of Capital Markets
 Dr. iur., Attorney at Law, M.C.J.
 +41 58 450 80 00
 patrick.schleiffer@lenzstaehelin.com

ZURICH
 Brandschenkestrasse 24
 CH-8027 Zurich
 www.lenzstaehelin.com

EXPERTISE

Dr. Patrick Schleiffer is a partner and co-head of the Capital Markets group in Zurich, and a leading expert on financial market law. His specialisms include capital markets, stock exchange and securities law, investment fund law, financial services regulation, and corporate law and corporate governance. Patrick is authorised to represent issuers before the SIX Swiss Exchange. He also lectures on capital markets and securities law at the University of Zurich, is a regular speaker at conferences and co-editor of the Swiss internet-based newsletter CapLaw, and act as the current website officer of the Securities Law Committee of the International Bar Association (IBA).

PROFESSIONAL EXPERIENCE AND EDUCATION

2002	Partner, Lenz & Staehelin
1995	Joined Lenz & Staehelin
1989	Research and teaching assistant, the University of Zurich
1997	New York Bar Admission
1996	New York University School of Law (M.C.J.)
1995	Swiss Bar Admission
1992	University of Zurich (Dr. iur.)
1989	University of Zurich (lic. iur.)

SPECIALIST AREAS

Capital Markets, Equity Offering, Domestic and International Bond and Equity-linked Securities Offerings, Investment Funds, Financial Services Regulation, Banking and Finance, Corporate and M&A, Corporate Governance, Commercial and Contracts

LANGUAGES

German, English, French

MEMBERSHIPS

Zurich Bar Association (ZAV), Swiss Bar Association (SAV), International Bar Association (IBA), Swiss American Chamber of Commerce, New York State Bar Association (NYSBA)

 SELECTED PUBLICATIONS

- Schleiffer P., Härtsch T., Leisinger B., ESG survey regarding disclosure regulations and capital market transactions - Switzerland, in: International Bar Association ESG survey 2022 (edited by Flechner/Akhund/Schleiffer), May 2023
- Rayroux F., Schleiffer P., Vogt Scholler L., Schärli P., Bechaalany S., Financial Services Compliance 2022 - Switzerland, in: Getting the Deal Through, April 2022
- Schleiffer P., Schärli P., Kommentierung von Art. 44-46 FIDLEG, in: Sethe/Bösch/Favre/Kramer/Schott (eds.), Kommentar zum Finanzdienstleistungsgesetz FIDLEG, Zurich 2021
- Schleiffer P., Corporate Governance 2021 - Switzerland, in: International Comparative Legal Guides, August 2021, 162-168
- Bechaalany S., Schleiffer P., Vogt Scholler L., Meylan D., 4. Kapitel: Asset Manager als Finanzinstitute - Bewilligung und Aufsicht, in: Asset Management im neuen regulatorischen Umfeld, Helbing Lichtenhahn Verlag, Basel 2021
- Schleiffer P., Schärli P., Social Trading, in: CapLaw, Swiss Capital Markets Law, 2/2021, 2-9
- Stahler O., Hünerwadel P., Schleiffer P., Equity Derivatives 2020 - Switzerland, in: Getting the Deal Through, August 2020, 73-83
- Frey H., Schärli P., Schleiffer P., Securities Litigation 2020 - Switzerland, in: Getting the Deal Through, May 2020, 75-81
- Schleiffer P., Schärli P., Grenzüberschreitende Erbringung von Finanzdienstleistungen, in: GesKR (Gesellschafts- und Kapitalmarktrecht), 1/2020, 24-35
- Schleiffer P., Schärli P., Kommentierung von Art. 61-65 FinfraG und Art. 68-73 FinfraG, in: Watter/Bahar (eds.) Basler Kommentar zum FINMAG und FinfraG, 3rd edition, Basel 2019
- Iffland ., Schleiffer P., Securities Finance 2019 - Switzerland, in: Getting the Deal Through, May 2019, 94-99
- Schleiffer P., von Riedmatten R., Supervision of Portfolio Managers and Trustees - Update, in: CapLaw, Swiss Capital Markets Law, 5/2019, 57-64
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- Schleiffer P., Schärli P., Supervision of Portfolio Managers and Trustees - Update, in: CapLaw, Swiss Capital Markets Law, 5/2018, 69-75
- Schleiffer P., Schärli P., Ausnahmen von der Prospektspflicht unter dem künftigen Finanzdienstleistungsgesetz, in: GesKR (Gesellschafts- und Kapitalmarktrecht), 1/2018, 1-9
- Schleiffer P., Schärli P., New Reporting Obligations for Securities Dealers and Participants of Swiss Trading Venue, in: CapLaw, Swiss Capital Markets Law, 2/2018, 2-5
- Schleiffer P., Schärli P., Multilaterale Handelssysteme (MTF) und organisierte Handelssysteme (OTF), in: Sester/Brändli/Bartholet/Schiltknecht (eds.), St. Galler Handbuch zum Schweizer Finanzmarktrecht / Finanzmarktaufsicht und Finanzmarktinfrastrukturen, Zurich/St. Gallen 2017, § 22B
- Schleiffer P., Schärli P., New Rules for Organized Trading Facilities, in: CapLaw, Swiss Capital Markets Law, 2/2017, 14-20
- Schleiffer P., Schärli P., Supervision of Portfolio Managers and Trustees - Update, in: CapLaw, Swiss Capital Markets Law, 1/2017, 34-38
- Schleiffer P., Schärli P., Supervision of Portfolio Managers and Trustees, in:

- CapLaw, Swiss Capital Markets Law, 1/2016, 42-47
- Schleiffer P., Kommentierung von Art. 18-21 FusG, in: Watter/Vogt/Tschäni/Daeniker (eds.), Basler Kommentar zum Fusionsgesetz, 2nd edition, Basel 2015
- Schleiffer P., Revised Cross-Border Marketing Regime for non-Swiss Funds to Qualified Investors in Switzerland applies as from 1 March 2015, in: CapLaw, Swiss Capital Markets Law, 2/2015, 11-17
- Schleiffer P., Schärli P., Ein Überblick über das künftige Finanzdienstleistungsgesetz und Finanzinstitutsgesetz, in: GesKR (Gesellschafts- und Kapitalmarktrecht) 4/2014, 334-347
- Schleiffer P., Schärli P., Der Vertrieb von Private Equity-Fonds unter dem revidierten Kollektivanlagengesetz, in: Gericke (ed.), Private Equity III, Struktur und Regulierung von Private Equity-Fonds und -Fondsmanagern im Lichte des revidierten KAG und der AIFM-RL, Zurich/Basel/Geneva 2013, 133-185
- Schleiffer P., Grenzüberschreitende Platzierungen in die Schweiz, in: Reutter/Werlen (eds.), Kapitalmarkttransaktionen VII, Zurich/Basel/Geneva 2012, 165-239
- Schleiffer P., Fischer D., Kommentierung von Art. 21-23 BEG und Art. 7 HWpÜ, in: Watter/Bahar (eds.) Basler Kommentar zum FINMAG und FinfraG, 3rd edition, Basel 2012
- Schleiffer P., Obligations of a Public Company, in: Going Public on SIX Swiss Exchange, 2011, 114-117
- Schleiffer P., Prospektfreie Platzierungen, in: Reutter/Werlen (eds.), Kapitalmarkttransaktionen V, Zurich/Basel/Geneva 2010, 121-193
- Schleiffer P., Wolf M., Die Mitwirkung der Gesellschaft bei Sekundärplatzierungen, in: Oertle/Wolf/Breitenstein/Diem (eds.), M&A - Recht und Wirtschaft in der Praxis, Liber Amicorum for Rudolf Tschäni, Zurich 2010, 297-317
- Schleiffer P., Stahler O., The revised listing rules of the SIX Swiss Exchange for bonds, in: The Euromoney International Debt Capital Markets Handbook 2010, 41-43
- Schleiffer P., Tranchet M., Fischer D., Soft Sounding, in: CapLaw, Swiss Capital Markets Law, 2/2009, 2-6
- Schleiffer P., Lambert ., Auskunfts- und Einsichtsrecht, in: GesKR (Gesellschafts- und Kapitalmarktrecht), special edition 2008, 98-103
- Schleiffer P., Kursstabilisierung - ausgewählte Aspekte, in: Reutter/Werlen (eds.), Kapitalmarkttransaktionen III, Zurich/Basel/Geneva 2008, 99-151
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- Schleiffer P., Breitenstein S., Money Laundering Law in Switzerland, in: Butterworths Money Laundering Law, Issue 21/2007, 2601-2612
- Schleiffer P., Gutzwiller P., Offenlegung von Beteiligungen im Falle eines Trusts (Trustees) als Aktionär, in: GesKR (Gesellschafts- und Kapitalmarktrecht) 2007, 61-67
- Stahler O., Schleiffer P., Distribution of Fund-Linked Notes in Switzerland, in: The Euromoney International Debt Capital Markets Handbook 2007, 189-191
- Schleiffer P., Offenlegungs- und übernahmerechtliche Aspekte bei Kapitalmarkttransaktionen, in: Reutter/Watter/Werlen (eds.), Kapitalmarkttransaktionen I, Zurich/Basel/Geneva 2006, 125-175
- Schleiffer P., No Material Adverse Change, in: Tschäni, R. (ed.), Mergers &



Acquisitions VI, Zurich 2004, 53-107

- Schleiffer P., Kommentierung von Art. 18-21 FusG (Commentary on Certain Articles of the Merger Act), in: Watter/Vogt/Tschäni/Daeniker (eds.), Basler Kommentar zum Fusionsgesetz, Basel 2004

OTHER ACTIVITIES

- Admitted as recognized representative for the listing of securities on SIX Swiss Exchange.
- Officer and treasurer (period 2020-2021) of the Securities Law Committee of the International Bar Association (IBA).

REFERENCES

Patrick Schleiffer is "always on top of new regulatory developments, long before they come into force". He is lauded for his "strong understanding of regulatory issues" and "pragmatic approach to solving complex problems".
Who's Who Legal, 2023

Very valuable and knowledgeable lawyer
Chambers, 2020

Highly recommended for his superb knowledge of corporate law and governance
Who's Who Legal, 2020

He is reliable and it is always an excellent cooperation with him.
Legal 500, 2020

Very experienced lawyer with a deep understanding of Swiss and international capital markets law
Chambers, 2019

Profound technical knowledge
Who's Who Legal, 2019

Very responsive and very efficient
Chambers, 2018