Certification „client advisor bank“

**Confirmation employer**

This form has to be filled in by the client advisor.

The following information confirms that I comply with the requirements for admission to the certification.

Extract of the examination regulations

* must be employed by a financial institution.
* must have a client book, participate in such a book or work as an independent specialist for clients and be in direct contact with them. This means bearing responsibility for advising customers individually or in a team and being in direct contact with them.
* must have a role corresponding to the certification program (according to the role key defined by the examination body) (*for independent wealth managers: see appendix ‘Role definition’ Certified Wealth Management Advisor CWMA)*

Addition for IWMs/financial intermediaries (**please check**)

[ ]  The undersigning employer holds a qualified framework contract with a bank licensed in Switzerland

[ ]  and is a member of an SRO recognized by FINMA.

Name and surname \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date of Birth \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Sex [ ] male [ ]  female

Language of certificate [ ] German [ ] English [ ] French [ ] Italian

Home address \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Zip-code / place \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Email \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employment title / role

(Details on website) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Certification programme [ ]  Advisor Private Clients [ ]  Advisor Individual Clients

Bank Client Relationship Manager [ ]  Advisor SME Clients [ ]  Corporate Banker CCoB

(Choose one ONLY) [ ]  Advisor Affluent Clients [ ]  Certified Wealth Management Advisor CWMA

Name of employer \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contact person / supervisor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(*for IWMs only*) Member of SRO… \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Place** | **Date** | **Signature** |
| Candidate |  |  |  |
| Employer(only valid if stamped) |  |  |  |

With his signature the signatory confirms:

* to accept the examination regulation and the admission standards mentioned above.
* that all the information above is filled in completely and truthfully.

|  |
| --- |
| **To be filled in by the external certification service**  |
| Responsible Person  | Date  | Signature |

Appendix Confirmation employer

Role definition

Certified Wealth Management Advisor CWMA

The role of a «Wealth Management Advisor» serves as the basis for admission to the certification system.

## Description admitted role:

The client advisor executes his work within the field of wealth management, organizes and coordinates the totality of the client’s wealth. The Wealth Management Advisor determines the financial situation of his or her client. The advisor is wholly responsible for a client book and makes recommendations, which lead to far-reaching financial decisions of the client (e.g. investment decisions, asset transfers).

## Definition Wealth Management clients:

Wealth Management clients are wealthy private investors belonging to the client segment which demands the advisor’s highest degree of specialization and lay down the highest requirements possible with regard to the advisor’s competences as well as the products and services offered. The needs are comprehensive and complex.

The advisor thereby demonstrates his competences regarding the requirements of conduct and professional skills defined within the certification program and Body of Knowledge (documents are to be considered).

The client book needs to consist of wealth management clients. Sporadic consultations of wealth management clients are not sufficient for admission to the certification system.