



Proof of knowledge for client advisors according to FinSA for entry in the Swiss Client Advisor Register

Are you advising Swiss clients on behalf of a financial service provider that is not subject to prudential supervision in Switzerland? Thus, you must sign up to the Swiss Client Advisor Register?

We offer you an attractive e-learning and e-testing programme that you can complete independent of time and place. This course allows you to obtain proof of knowledge for entry in the Swiss Client Advisor Register in an intuitive, effective and targeted manner.



E-learning modules designed to be modular and interactive provide you with the legally required knowledge about the rules of conduct under FinSA and professional expertise. You decide when and where, and our e-learning platform introduces you to the essential content concisely and purposefully. Next, you demonstrate your knowledge in an online self-test.

Your benefit

- The course provides client advisors with an intuitive, efficient, and targeted introduction to the rules of conduct under FinSA and relevant expertise.
- The modular structure enables on-the-job learning, independent of time and place. The modules are engaging and include various interactive elements, web links, examples, and client scenarios.
- Online self-tests ensure that you have understood and mastered the content
- You will receive proof of knowledge for entry in the Swiss Client Advisor Register.



Our offer

- Modular, multimedia e-learning on the rules of conduct under FinSA with online self-test.
- Available in German, French, Italian, and English.
- Engaging structure with a variety of interactive exercises, case studies, scenarios, and links.
- By completing the e-learning and online self-tests, you will receive proof of knowledge for entry in the Swiss Client Advisor Register.

The contents

- Fit for FinSA:
 - Content and rationale of FinSA
 - Client protection
 - Financial services within the scope of FinSA
 - Client segmentation
 - Client profiling
 - Assessment of appropriateness and suitability
 - Pre-contractual information
 - Basic information document and prospectus duty
 - Execution – code of conduct for transparency and diligence in client orders
 - Documentation and accountability
 - Swiss Client Advisor Register
 - Applicability of MiFID II in Switzerland
 - Rules of conduct: Market abuse, Anti bribery, Prevention of conflicts of interest
 - Legal foundations for investment funds, Discretionary and advisory mandates, substantial aspects of contract law
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- Professional knowledge:
 - Equities
 - Fixed income investments
 - Investment funds
 - Structured products
 - Derivatives
 - Credit business
 - Compliance

The e-learning suite 'Fit for FinSA' was created in collaboration with IMC and Prime Coach.

About Fintelligence

Fintelligence offers tailor-made and personalized services in personal and organizational development for financial services providers. In particular, Fintelligence is focussed on offering development measures and trainings for client advisors in banking.

Fintelligence is a registered stock corporation under Swiss law. It is headquartered in Zug, Switzerland.