Fintelligence

Compliance: Investment Suitability & Appropriateness under MiFID II

Training program SAM

Title / Topic	Investment Suitability & Appropriateness under MiFID II
Target audience	Asset managers
Learning content	This module addresses the provisions on Investment Suitability & Appropriateness under MiFID II. It deals with the general duties of care and faith. Moreover, it explains the categorization of clients and the different obligations that must be complied with. The module also examines the different obligations in asset management and investment advisory business compared to Execution Only relationships. Moreover, it presents financial products that can be marketed to the different client categories. Finally, the importance of the client's domicile is addressed.
Learning location / Testing location	Fintelligence Online Lernplattform: https://fintelligence.fintelligence-net.com/
Learning time	1. Investment Suitability & Appropriateness under MiFID II (50 min) 2. Learning control (60 min)
Period	2 months
Learning goals	Investment Suitability & Appropriateness under MiFID II After studying this module • you will be aware of the general rules of conduct that you have to observe with respect to your client, • you will understand the factors for determining the risk categorisation of the clients (i.e., risk-capacity and risk-propensity), • you will have become aware of the fact that you have different obligations to different client categories, • you will know that different financial products must be offered to clients due to their risk classification, • you will understand the importance of the place of residence of the client (in particular Swiss vs. EU/EEA) regarding the advice offered, • you will be aware of the different obligations under asset management and investment advisory contracts as against execution only relationships.

Method	Self-study via interactive e-learning module with discoverable content and videos plus final learning control via online test.
Learning control	Your online self-control test consists of 15 to 20 multiple choice questions. You will pass the test if you reach at least 70% of the maximum score.