

ONLINE TRAININGS

Where are we today

With the Financial Services Act (FinSA) and the Financial Institutions Act (FinIA), the last two building blocks of the modernized Swiss financial market law came into force as of January 2020. The FinSA creates uniform conditions for all financial service providers operating in Switzerland in that - regardless of the type of financial institution (bank, asset manager, investment advisor) - all client advisors must comply with the same law. Client advisors of non-supervised Swiss financial service providers must now register in the advisor register before they are allowed to provide their services in Switzerland or to clients domiciled in Switzerland.

Overview Online Trainings - Recognized by Client Advisor Register and SAQ

For registration in the advisor register, client advisors are required in particular to submit proof of sufficient knowledge of the rules of conduct under FinSA as well as of the specialist knowledge required for their activities. In this context, our two e-learning modules «Code of Conduct» and «Advertising and Offering Financial Instruments» are accepted by the registry of advisors *regservices.ch* as proof of the necessary basic knowledge. In addition, we also offer these and other training modules to various financial institutions that wish to train and develop their employees in an appropriate and efficient manner. In addition, the SwissComply trainings are recognized by the Swiss Association for Quality (SAQ) as a recertification measure for the certification «client advisor bank».

Training Module	Content of the Training																								
Code of conduct according to FinSA*/**	<ul style="list-style-type: none">Financial services within the meaning of the FinSA / Client segmentation according to FinSACode of conduct in the provision of financial servicesConflicts of interest / Fiduciary duties / Information dutiesDue diligence obligations with regard to the organization																								
Advertising and offering financial instruments according to FinSA*/**	<ul style="list-style-type: none">Legal basis / distinction from distribution according to CISAMost important terms and definitionsMost important dutiesImplementation of the duties in your company																								
Crossborder**	<ul style="list-style-type: none">Definition of cross-border activitiesCross-border activities - initiative comes from the companyCross-border activities - initiative comes from the counterpartyForeign travel																								
IT & BCM**	<ul style="list-style-type: none">Information Technology (IT) - Organisation, responsibility, approachCyber-Attacks – Definition, reporting obligations, severityBusiness Continuity Management (BCM) – Definition, principles, elements																								
Combating money laundering and terrorist financing (AMLA)**	<ul style="list-style-type: none">Legal basisDefinition of Money Laundering / Predicate OffensesKnow Your Customer «KYC»Identification of contracting party / Determination of beneficial ownerSpecial duties of care																								
Data Protection (DSG)	<ul style="list-style-type: none">Legal basis (DSG revision as of September 1st 2023)Data Processing PrinciplesInformation and access rightsData breaches																								
<p>* Recognized by the Register of Client Advisors (BX Swiss AG, regservices.ch) as proof of sufficient FinSA knowledge</p> <p>** Recognized by the Swiss Association for Quality (SAQ) as a recertification measure for the certification «client advisor bank»</p>																									
Remarks:	<table><tr><th colspan="4">Costs per participant in CHF</th></tr><tr><th>Participant</th><th>1 Training</th><th>2 Trainings</th><th>5 Trainings</th></tr><tr><td>1 - 4</td><td>500</td><td>750</td><td>1'000</td></tr><tr><td>from 5</td><td>400</td><td>600</td><td>800</td></tr><tr><td>from 10</td><td>350</td><td>525</td><td>700</td></tr><tr><td>from 20</td><td>300</td><td>450</td><td>600</td></tr></table>	Costs per participant in CHF				Participant	1 Training	2 Trainings	5 Trainings	1 - 4	500	750	1'000	from 5	400	600	800	from 10	350	525	700	from 20	300	450	600
		Costs per participant in CHF																							
		Participant	1 Training	2 Trainings	5 Trainings																				
		1 - 4	500	750	1'000																				
		from 5	400	600	800																				
from 10	350	525	700																						
from 20	300	450	600																						
<ul style="list-style-type: none">All training modules are available in English and German																									
<ul style="list-style-type: none">Participants hear the speakers and see the slides (also available as PDF)																									
<ul style="list-style-type: none">Training sessions last approximately 30 - 45 minutes and a test is taken upon completion (between 8-16 multiple choice questions)																									

Your contact persons

SwissComply Service Desk

Phone +41 44 541 06 00

servicedesk@swisscomply.ch