

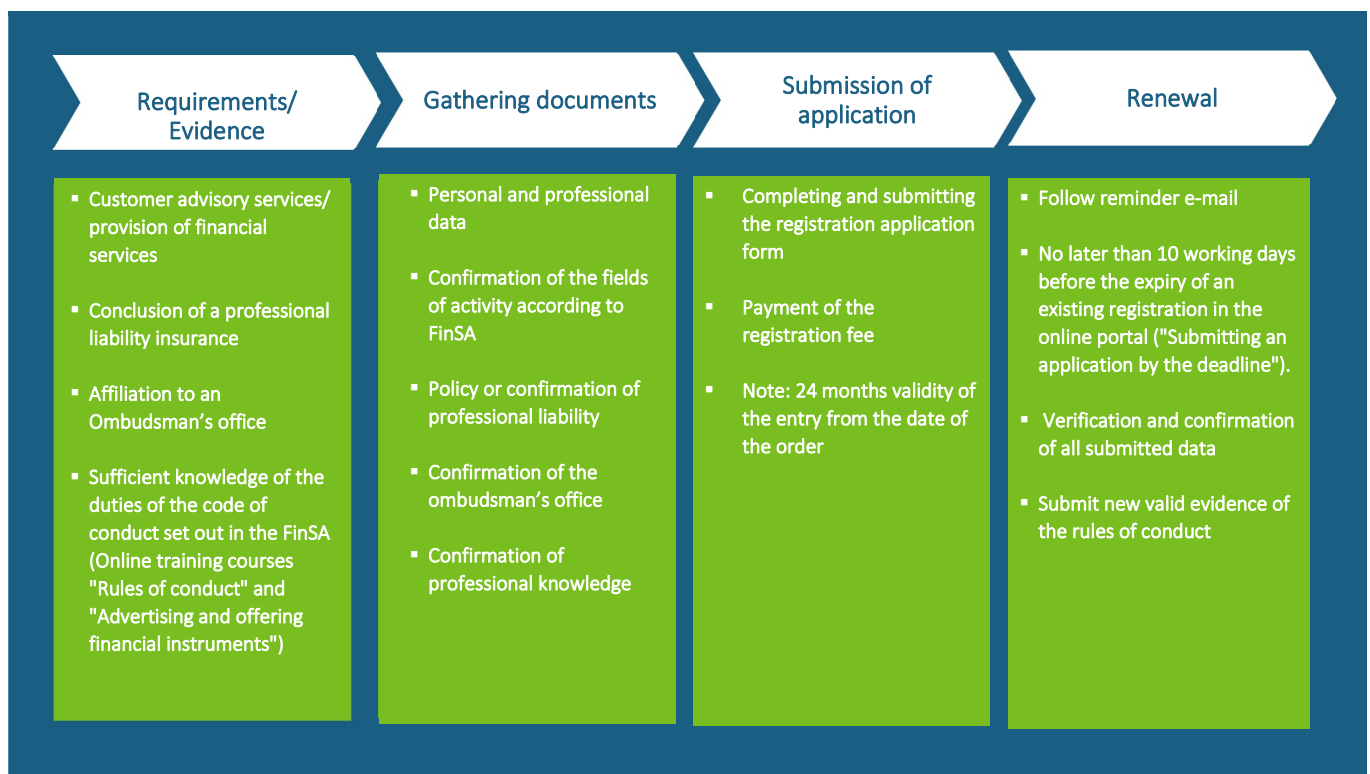
## ENTRY IN THE REGISTER OF ADVISERS

### The current situation

Client advisors of domestic financial service providers that are not supervised within the meaning of Article 3 FINMASA, as well as client advisors of foreign financial service providers that carry out their activities in Switzerland, must be registered in the Register of Advisers pursuant to Article 28 FinSA in order to be able to carry out their activities. In the case of foreign financial service providers, the registration requirement applies to their client advisors, provided the financial service provider belongs to a group supervised by FINMA and they do not provide their financial services in Switzerland only to professional or institutional clients.

### Implementation – in 4 steps to the entry in the Register of Advisers

The entry into the Register of Advisers requires the submission of various documents. In a first step, these requirements and evidences are collected. These include, for example, confirmation of a professional liability insurance and an Ombudsman's office, as well as proof of sufficient knowledge of the duties of conduct under FinSA. The next step is to complete and submit the registration application. Around 24 months later, the renewal application is due, for which SwissComply provides support.



## Support from SwissComply

SwissComply will gladly assist you with the entry into the Register of Advisers as follows:



1. We will assist you throughout the whole process either personally on site or virtually.
2. We will gladly advise you on the choice of a professional liability insurance.
3. We provide you with an overview of the existing ombudsman's offices that are available.
4. We offer certified online training courses in German and English.
5. We support you with our expertise in the submission of application.
6. We offer you re-certifications within the scope of the renewal of the Register of Advisers entry.

Please do not hesitate to contact us if you have specific questions about ombudsman services or professional liability insurance. With our expertise in this area, we can help you achieve a smooth entry in the Register of Advisers.

The costs for consulting and support by SwissComply are calculated according to the effective effort shown in the following fee table:

Level	Rate per hour in CHF
Partner	CHF 380
Director	CHF 340
Senior Manager	CHF 290
Manager	CHF 260
Senior Consultant	CHF 240
Consultant	CHF 220

The online training courses "Rules of Conduct" and "Advertising and Offering Financial Instruments" are available at the following fixed price:

- CHF 750. — (one person for both online modules)
- CHF 1'500. — (two persons for both online modules)

All prices are exclusive of statutory value added tax (VAT).

## Your contact

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