

## 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».

### Costs per participant in CHF

Participant	1 Training	2 Trainings	5 Trainings	All trainings*
1	500	750	1'000	1'250
Up to 5	400	600	800	3'000
Up to 10	350	525	700	5'000
from 10	300	450	600	Please contact us

\* Access to all trainings and our Regulatory Update Service (service agreement packages, can be cancelled at any time)

### Your contact

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# SWISSCOMPLY

Training Module & Course duration	Content of the Training
Combating money laundering and terrorist financing (AMLA)** Course duration: 2h	<ul style="list-style-type: none"> <li>Legal basis / Definition of Money Laundering / Predicate Offenses</li> <li>Know Your Customer «KYC»</li> <li>Identification of contracting party / Determination of beneficial owner</li> <li>Special duties of care</li> </ul>
Code of conduct according to FinSA*/** Course duration: 1h	<ul style="list-style-type: none"> <li>Financial services within the meaning of the FinSA / Client segmentation according to FinSA</li> <li>Code of conduct in the provision of financial services</li> <li>Conflicts of interest / Fiduciary duties / Information duties</li> <li>Due diligence obligations with regard to the organization</li> </ul>
Crossborder** Course duration: 1h	<ul style="list-style-type: none"> <li>Definition of cross-border activities</li> <li>Cross-border activities - initiative comes from the company</li> <li>Cross-border activities - initiative comes from the counterparty</li> <li>Foreign travel</li> </ul>
Advertising and offering financial instruments according to FinSA*/** Course duration: 2h	<ul style="list-style-type: none"> <li>Legal basis / distinction from distribution according to CISA</li> <li>Most important terms and definitions</li> <li>Most important duties</li> <li>Implementation of the duties in your company</li> </ul>
IT & BCM** Course duration: 1h	<ul style="list-style-type: none"> <li>Information Technology (IT) - Organisation, responsibility, approach</li> <li>Cyber-Attacks – Definition, reporting obligations, severity</li> <li>Business Continuity Management (BCM) – Definition, principles, elements</li> </ul>
Data Protection (DSG)** Course duration: 1h 30min	<ul style="list-style-type: none"> <li>Legal basis (DSG revision as of September 1<sup>st</sup> 2023)</li> <li>Data Processing Principles</li> <li>Information and access rights</li> <li>Data breaches</li> </ul>
FinIA Portfolio Managers and Trustees Course duration: 1h	<ul style="list-style-type: none"> <li>Baseline presentation</li> <li>Mandatory for client facing employees</li> </ul>
FinIA Managers of Collective Assets Course duration: 1h	<ul style="list-style-type: none"> <li>Baseline presentation</li> <li>For financial institutions authorized under Art. 24</li> <li>Mandatory for qualified managers, employees with client facing roles, managers and AML responsible persons</li> </ul>
FinSA Client segmentation Course duration: 1h	<ul style="list-style-type: none"> <li>Baseline presentation</li> <li>Mandatory for qualified managers, employees with client facing roles, managers and AML responsible persons</li> <li>Regulatory Framework</li> </ul>
Limited Qualified Investor Fund (L-QIF) Course duration: 1h	<ul style="list-style-type: none"> <li>Introduction to L-QIF</li> <li>Regulatory Framework</li> </ul>
ESG (Environment, Social and Governance)** Course duration: 1h 30min	<ul style="list-style-type: none"> <li>Introduction to ESG</li> <li>ESG Ratings/Risk Factors</li> <li>Greenwashing</li> <li>Regulatory Framework</li> </ul>
Trustees in regulatory context Course duration: 1h	<ul style="list-style-type: none"> <li>Recommended for employees of Trust Companies</li> <li>Regulatory Framework</li> <li>Additional offering: Training to Trustees after the implementation of new regulatory standards</li> </ul>
Trustees Basic Knowledge Course duration: 1h	<ul style="list-style-type: none"> <li>Recommended for employees of the financial institution</li> <li>Regulatory Framework</li> <li>Additional offering: Short introductory training to trusts for employees of financial institutions</li> </ul>

\* Recognized by the Register of Client Advisors (BX Swiss AG, [regservices.ch](https://www.regservices.ch)) as proof of sufficient FinSA knowledge

\*\* Recognized by the Swiss Association for Quality (SAQ) as a recertification measure for the certification «client advisor bank»

## Remarks:

- All training modules are available in English and German
- Participants hear the speakers and see the slides (also available as PDF)
- Training sessions last approximately 1 – 2hrs and a test is taken upon completion (between 8-16 multiple choice questions)