



Finanzdienstleistungsgesetz, Beraterregister
Loi sur les services financiers, Registre des conseillers
Legge sui servizi finanziari, Registro dei consulenti

LIST OF ACCEPTED EDUCATION AND TRAINING PROFESSIONAL KNOWLEDGE

The following list of education and training courses is accepted by the registrars.

Status: 14.01.2022

Instituts - Name	Purchase/sale of financial instruments	Receipt/transmission of orders in relation to financial instruments	Wealth/asset management)	In-vestment advice (provision of personal recommendations)	Granting of loans to finance transactions with financial instruments
Association of Certified International Investment Analysts (ACIIA) - Certified International Investment Analyst (CIIA)		x	x	x	
Association of International Wealth Management (AIWM) - Certified International Wealth Manager Diploma (CIWM)	x	x	x	x	x
ASG/VSV – Qualified Independent Wealth Manager	x	x	x	x	x
AZEK - Associate Wealth Manager (AWM)	x	x	x	x	x
AZEK - Certified International Wealth Manager (CIWM)	x	x	x	x	x
AZEK - Financial Analyst & Portfolio Manager (CIIA)	x	x	x	x	x
AZEK - Financial Market Operator (FMO)	x	x	x	x	x
Certified Financial Planner in Verbindung mit ZHAW – MAS Financial Accounting	x	x	x	x	x
Certified Financial Planner in Verbindung mit IAF – Dipl. Finanzplaner/in mit eidg. FA (plus CFP®-Upgrade-Kurs)	x	x	x	x	x
CFA Institute: CFA Program Level 1	x	x	x	x	
CFA Institute: CFA Program Level 2	x	x	x	x	
CFA Institute: CFA Charterholder (completion level 3 exam and fulfilling all requirements)	x	x	x	x	
CFA Institute: Certificate in ESG Investing	x	x	x	x	
CFA Society Switzerland: Recertification Courses for Certified Wealth Management Advisors (CWMA SAQ accredited)	x	x	x	x	
CFA Institute / Society – Fellow or Associate by examination	x	x	x	x	x

CFA Institute / Society – Holder of Associate qualification				x	
CFA Institute / Society – Investment Management Certificate (Level 3 or 4)	x	x	x	x	x
Chartered Alternative Investment Analysis Association (CAIA) - Level 1				x	
Chartered Institute for Securities and Investment (CISI) - Certificate in Corporate Finance	x			x	
Chartered Institute for Securities and Investment (CISI) - Certificate in Derivatives	x				
Chartered Institute for Securities and Investment (CISI) - Certificate in Investment Management	x	x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Certificate in Pension Transfers and Planning Advice			x		x
Chartered Institute for Securities and Investment (CISI) - Certificate in Private Client Investment Advice and Management		x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Certificate in Securities	x			x	
Chartered Institute for Securities and Investment (CISI) - Certificate in Securities and Financial Derivatives	x			x	
Chartered Institute for Securities and Investment (CISI) - Client Services Qualification	x				
Chartered Institute for Securities and Investment (CISI) - Diploma	x	x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Diploma - Global Operations Management Module	x				
Chartered Institute for Securities and Investment (CISI) - Diploma - International Operations Management Module	x				
Chartered Institute for Securities and Investment (CISI) - Diploma - Operations Management Module	x				
Chartered Institute for Securities and Investment (CISI) - Diploma - Regulation and Compliance Module	x	x	x	x	
Chartered Institute for Securities and Investment (CISI) - Diploma in Corporate Finance				x	
Chartered Institute for Securities and Investment (CISI) - Investment Advice Certificate	x	x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Investment Operations Certificate - UK Financial Regulation Module	x	x	x	x	
Chartered Institute for Securities and Investment (CISI) - Level 3 Certificate in Investments	x	x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Level 6 Diploma in Wealth Management		x	x		x
Chartered Institute for Securities and Investment (CISI) - Masters in Wealth Management		x	x	x	x
Chartered Institute for Securities and Investment (CISI) - Member of the Securities Institute by examination	x			x	
Chartered Insurance Institute (CII) - Level 4 Diploma in Regulated Financial Planning	x	x	x	x	X
COFAKTORY – Certifying training path on FinSA rules of conduct and fundamental knowledge of investment services, Gold Solution (online)	x	x	x	x	x
CSVN – CAS Wealth Management (until 2021)	x		x	x	x
CSVN – CAS Wealth Management and Sustainability (from 2022)	x		x	x	x
CSVN – CAS Risk Management in Banking and Asset Management			x		
EFFAS Societies with accredited examinations - Certified European Financial Analyst		x	x		

IAF - Dipl. Finanzberater/in	x	x		x	x
IAF - Dipl. Finanzberater/in (Kenntnisnachweis FIDLEG)	x	x		x	x
IAF - Finanzplaner/in mit eidg. FA	x	x		x	x
IAF - Zertifizierter Vermögensberater/in IAF	x	x		x	x
IMD / Leonteq - Investing in Structured Products		x	x	x	
ISFB - Chartered Financial Analyst (CFA I, II, III)	x		x	x	
ISFB - Chartered Alternative Investment Analyst (CAIA I, II)	x		x	x	
ISFB - Financial Risk Manager (FRM I, II)	x		x	x	
ISFB -SAQ Certified Wealth Management Advisor (SAQ CWMA)	x	x	x	x	x
ISFB - CAS HES en Solutions d'investissement : Module Financements				x	x
ISFB - CAS HES en Solutions d'investissement : Module Solutions d'investissement	x		x	x	
ISFB - CAS HES en Solutions d'investissement : Module Stratégies d'investissement	x		x	x	
ISFB - CAS HES en Solutions d'investissement : Module Macroéconomie	x		x	x	
ISFB - CAS HES en Solutions d'investissement : Module Environnement du client	x			x	x
FinSA Client Advisor Test (Kryterion) - Credit Activities					x
FinSA Client Advisor Test (Kryterion) - Credit Activities (w/o FINSA)					x
FinSA Client Advisor Test (Kryterion) - Distribution	x	x			
FinSA Client Advisor Test (Kryterion) - Distribution (w/o FINSA)	x	x			
FinSA Client Advisor Test (Kryterion) - Executing and Forwarding of Orders	x				
FinSA Client Advisor Test (Kryterion) - Executing and Forwarding of Orders (w/o FINSA)	x				
FinSA Client Advisor Test (Kryterion) - Investment Advice and Investment Management			x	x	
FinSA Client Advisor Test (Kryterion) - Investment Advice and Investment Management (w/o FINSA)			x	x	
FinSA Client Advisor Test (Kryterion)	x	x	x	x	x
FinSA Client Advisor Test (Kryterion) with FINSA	x	x	x	x	x
FinSA Client Advisor Test (Kryterion) with FINSA – Base Version	x	x	x	x	x
Fintelligence - Ausbildungsnachweis für Kundenberater nach FIDLEG - Fachkenntnisse	x	x	x	x	x
LIBF – Level 4 Diploma for financial advisors (DipFA)	x	x	x	x	x
SAQ - Zertifizierter Affluent Kundenberater SAQ	x	x	x	x	x
SAQ - Certified Corporate Banker CCOB	x	x	x	x	x
SAQ - Certified Wealth Management Advisor CWMA	x	x	x	x	x
SAQ - Zertifizierter Individualkundenberater	x	x	x	x	
SAQ - Zertifizierter KMU Kundenberater	x	x		x	x
SAQ - Zertifizierter Privatkundenberater	x	x		x	

SIX Swiss Exchange - Certified Securities Trader				x	
SLS Finanzberater-Lizenz-Prüfung (Swiss Life Select)				x	
Swiss Finance Institute - Dual degree Executive MBA in Asset and Wealth Management		x	x		
Universität Zürich - MAS Finance - Einzelkurs - Investment Controlling (in Kooperation mit IRC Partners GmbH)	x	x	x	x	
VisionCompliance - Online Test - All Financial Services according to FINSA	x	X	X	X	x
VisionCompliance - Online Test - Fund Distribution	x	x			
VisionCompliance - Online Test - Executing Forwarding of Orders and Credit Activities	X	x			x
VisionCompliance - Online Test - Asset Management and Investment Advice			x	x	
ZHAW - MAS Financial Consulting	x	x	x	x	X
ZHAW - CAS Wealth Management	x	x	x	x	x
ZKA Zugerberg Kundenberater Akademie – Seminar Kapitalanlagen				x	