



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

**LISTE DES FORMATIONS DE BASE ET CONTINUE RECONNUES  
CONCERNANT LES RÈGLES DE COMPORTEMENT  
SELON LA LSFIN**

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Les formations de base et continue suivantes permettent au candidat de prouver disposer des connaissances suffisantes en matière des règles de comportement prévues à l’art. 6 LSFIn.

**Statut au: 04.06.2021**

<b>Prestataires - Nom</b>
1741 Fund Solutions AG – Kenntnisse der Verhaltensregeln
ARIF – FinSA training
ARIF- Jurisprudence et nouveautés LSFIn /Case law and news on FinSA (continuous training)
AVELALAW AG - Erstausbildung im Bereich der Verhaltensregeln nach FIDLEG
AZEK FIDLEG Zertifikat für Beraterregister / Certificat AZEK LSFIn pour le registre des conseillers
BRP SA/Indigita – Basic FinSA training (online)
BRP SA/Indigita – Scope of application: Services and Activities
BRP SA/Indigita – Client Segmentation and Onboarding (online)
BRP SA/Indigita – FinSA - Information duty (online)
BRP SA/Indigita – FinSA - Appropriateness & Suitability of Financial Services (online)
BRP SA/Indigita – FinSA - Documentation and Rendering on Account (online)
BRP SA/Indigita – FinSA - Transparency and Care in Client Orders (online)
BRP SA/Indigita – FinSA - Offering of Financial Instruments (online)
BRP SA/Indigita – FinSA - Civil, Administrative and Criminal Procedures (incl. Ombudsman) (online)
BRP SA/Indigita – Conflict of interests (online)
BRP SA/Indigita – Client advisers (including registration duty) (online)
Capstone Law – Erstausbildung im Bereich der Verhaltensregeln nach FIDLEG
Centre for Banking and Financial Law (CDBF, Geneva University Law School) – CAS Financial Regulations
Centre for Banking and Financial Law (CDBF, Geneva University Law School) – Compliance in Financial Services
COFAKTORY – Certifying training path on FinSA rules of conduct, Premium Solution (online)
COFAKTORY – Certifying training path on FinSA rules of conduct and fundamental knowledge of investment services, Gold Solution (online)
CSVN – FIDLEG: certificazione per fornitori di servizi finanziari
Equilas – E-Learning Modul FIDLEG: Grundlagen und Execution Only
Equilas – E-Learning Modul FIDLEG: Transaktionsbezogene Anlageberatung (nur in Verbindung mit Grundlagenmodul)
Equilas – E-Learning Modul FIDLEG: Umfassende Anlageberatung (nur in Verbindung mit Grundlagenmodul)
Equilas – E-Learning Modul FIDLEG: Vermögensverwaltung (nur in Verbindung mit Grundlagenmodul)
FinConTec AG – Verhaltenspflichten FIDLEG offline Kundenberater

FinSA Client Advisor Test (Kryterion) – Credit Activities (and Training)
FINSA Client Advisor Test (Kryterion) – Distribution (and Training)
FINSA Client Advisor Test (Kryterion) – Executing and Forwarding of Orders (and Training)
FINSA Client Advisor Test (Kryterion) – Investment Advice and Investment Management (and Training)
FinSA Client Advisor Test (Kryterion) – Legal / FINSA (and Training)
FinSA Client Advisor Test (Kryterion) with FINSA (and Training)
FinSA Client Advisor Test (Kryterion) with FINSA – Base Version (and Training)
Fintelligence – Ausbildungsnachweis für Kundenberater nach FIDLEG – Verhaltensregeln
First Independent Fund Services Ltd – Fund Distribution as Financial Service (applicable rules of conduct)
Fund Academy – FIDLEG/FINIG Compact
Fund Academy - SFAMO LEVEL 3
GWP - Schulung der Verhaltensregeln gemäss Art. 6 FIDLEG für Kundenberater der LGT Bank AG
IAF - Dipl. Finanzberater/in (Kenntnisnachweis FIDLEG; Abschlüsse ab November 2020)
IAF - Zertifizierter Vermögensberater/in IAF (Abschlüsse ab November 2020)
LCR Services – FIDLEG Verhaltensregeln für Kundenberater
LOURENÇO CONSULTING – Zert. Vermögensberater FIDLEG - Verhaltensregeln
Mendo – FIDLEG Kompakt – Kenntnisnachweis Verhaltensregeln (Online Training)
Mercury Compliance – Compliance Training - FIDLEG
SAQ - Zertifizierter Affluent Kundenberater SAQ (Abschlüsse ab 2020)
SAQ - Certified Corporate Banker CCOB (Abschlüsse ab 2020)
SAQ - Certified Wealth Management Advisor CWMA (Abschlüsse ab 2020)
SAQ - Zertifizierter Individualkundenberater (Abschlüsse ab 2020)
SAQ - Zertifizierter KMU Kundenberater (Abschlüsse ab 2020)
SAQ - Zertifizierter Privatkundenberater (Abschlüsse ab 2020)
SLS Kenntnisnachweis FIDLEG (Swiss Life Select)
SwissComply – E-Learning Modul «Verhaltensregeln/Code of Conduct» und Modul «Werbung für und Angebot von Finanzinstrumenten/Advertising and Offering of Financial Instruments»
Universität Zürich – MAS Finance - Einzelkurs - Investment Controlling (in Kooperation mit IRC Partners GmbH)
VisionCompliance – Spécialiste fonds de placement
VisionCompliance - Client Register : FinSA Rules of conducts
VisionCompliance - Online Training and Test - All Financial Services according to FINSA
VisionCompliance - Online Training and Test - Fund Distribution
VisionCompliance - Online Training and Test - Executing Forwarding of Orders and Credit Activities
VisionCompliance - Online Training and Test - Asset Management and Investment Advice
VisionCompliance - Online Training and Test - Code of Conduct

ZHAW – MAS Financial Consulting (Abschlüsse seit 2020)
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ZHAW – CAS Wealth Management (Abschlüsse seit 2020)
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