RegFix

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

LISTE DER ANERKANNTEN AUS- UND WEITERBILDUNGEN IM BEREICH FACHKENNTNISSE

Die nachfolgenden Aus- und Weiterbildungen ermöglichen den Gesuchstellern bei der Eintragung den Nachweis der notwendigen Fachkenntnisse.

Status: 22.10.2026

Institute - Name	Erwerb oder die Veräusserung von Finanzinstrumenten	Annahme und Übermittlung von Aufträgen	Verwaltung von Finanzinstrumenten (Vermögensverwaltung)	Erteilung von persönlichen Empfehlungen (Anlageberatung)	Gewährung von Lombardkrediten
AcadeMe AG – Zert. Vermögensberater FIDLEG - Fachkenntnisse				x	
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 4 Diploma in Investment Advice (Securities)	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 – Professional Knowledge for Client Advisors	x	x	x	x	x
CSVN – CAS Wealth Management	x		x	x	x

CSVN – CAS Wealth Manager	x		x	x	x
CSVN – CAS Wealth Management and Sustainability	x		x	x	x
CSVN – CAS Risk Management in Banking and Asset Management			x		
CSVN – CAS Risk Manager in Financial Services			x		
LIBF- level 4 Diploma for financial advisors (DipFA)	x	x	x	x	x
EFFAS Societies with accredited examinations - Certified European Financial Analyst		x	x		
HFW Vertiefung Banking + Finance Mendo	x	x	x	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
Kathiago GmbH - Zertifizierter Vermögensberater KT	x	x		x	x
Fintelligence - Ausbildungsnachweis für Kundenberater nach FIDLEG - Fachkenntnisse	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		
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
Zugerberg Finanz Academy – Weiterbildungsseminar Kapitalanlagen (E, F, I)				x	