



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**

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

**Status: 14.03.2024**

<b>Instituts - Name</b>	<b>Purchase/sale of financial instruments</b>	<b>Receipt/transmission of orders in relation to financial instruments</b>	<b>Wealth/asset management</b>	<b>In-vest advice (provision of personal recommendations)</b>	<b>Granting of loans to finance transactions with financial instruments</b>
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 – 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	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		
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
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	