

## **Liste der akzeptierten externen Aus- und Weiterbildungen im Bereich der notwendigen Fachkenntnisse /**

## **List of accepted external training and further education in the field of the necessary expertise**

Status: 20.03.2026

Auf dieser Liste sind die externen Aus- und Weiterbildungen aufgeführt, die im Rahmen der Eintragung von Kundenberaterinnen und Kundenberatern in das Beraterregister als Nachweis des notwendigen Fachwissens im Sinne von Art. 6 FIDLEG akzeptiert werden. Das Fachwissen ist in Bezug auf die ausgeübten Arten von Finanzdienstleistungen gemäss Art. 3 lit. c FIDLEG nachzuweisen.

Diese Liste kann nach den Vorgaben gemäss "Merkblatt betr. Nachweis der erforderlichen Kenntnisse nach Art. 6 FIDLEG" der BX Swiss AG erweitert werden.

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This list contains the external training courses that are accepted as proof of the necessary expertise in accordance with Art. 6 FinSA for entering client advisors in the register of the Registration Office. The expertise must be proven in relation to the types of financial services exercised in accordance with Art. 3 lit. c FinSA.

This list may be extended in accordance with the requirements set out in the "Guidelines concerning proof of the required knowledge according to Art. 6 FinSA" of BX Swiss AG.

<b>Institut / Name</b>	<b>Erwerb oder die Veräusserung von Finanzinstrumenten / purchase/sale of financial instruments</b>	<b>Annahme und Übermittlung von Aufträgen / receipt/transmission of orders in relation to financial instruments</b>	<b>Verwaltung von Finanzinstrumenten (Vermögensverwaltung) / wealth/asset management</b>	<b>Erteilung von persönlichen Empfehlungen (Anlageberatung) / investment advice (provision of personal recommendations)</b>	<b>Gewährung von Lombardkrediten / granting of loans to finance transactions with fin. 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 Manger	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
CSVN – CAS Wealth Management	x		x	x	x
CSVN – CAS Wealth Management and Sustainability	x		x	x	x
CSVN – CAS Wealth Manager	x		x	x	x
CSVN – CAS Risk Management in Banking and Asset Management			x		
CSVN – CAS Risk Manager in Financial Services			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
Certified Financial Planner™ (CFP®) in Verbindung mit ZHAW - MAS Financial Consulting	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

Cofactory - Professional Knowledge for Client Advisors	x	x	x	x	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		
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	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 - 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
Fintelligence - Ausbildungsnachweis für Kundenberater nach FIDLEG - Fachkenntnisse	x	x	x	x	x
HFV Vertiefung Banking + Finance Mendo	x	x	x	x	x
Kathiago GmbH - Zertifizierter Vermögensberater KT	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 / - Advanced training seminar on capital investments / - Séminaire de formation continue Placement de capitaux / - Seminario di formazione continua investimenti di capitale				x	

\* SAQ Zertifikate übertreffen die gestellten Anforderungen und sind als Qualitätsstandard zu verstehen.