



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

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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.

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.



Institut / Name	Erwerb oder die Veräusserung von Finanzinstrumenten / purchase/sale of financial instruments	Annahme und Übermittlung von Aufträgen / receipt/transmission of orders in relation to financial instruments	Verwaltung von Finanzinstrumenten (Vermögensverwaltung) / wealth/asset management	Ertellung von persönlichen Empfehlungen (Anlageberatung) / investment advice (provision of personal recommendations)	Gewährung von Lombardkrediten / granting of loans to finance transactions with fin. 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
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 Risk Management in Banking and Asset Management			x		
CFA Institute / Society - CFA Program (Level 1)		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 Asset Allocation Qualification		x	x		
CFA Institute / Society - Investment Management Certificate (Level 3 or 4)	x	x	x	x	x
CFA Institute / Society - Investment Practice Paper		x	x	x	
CFA Institute / Society - Investment Regulation and Practice Paper of the Associate Examination	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
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
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
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			
FinSA Client Advisor Test (Kryterion) - Distribution (w/o FINSA)		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
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	
ZHAW - MAS Financial Consulting	x	x	x	x	X
ZHAW - CAS Wealth Management	x	x	x	x	x