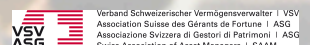


# FINSA-Compact

## Proof of knowledge Code of Conduct

The online course is recognised as a certificate of knowledge / continuing education by the following organisations



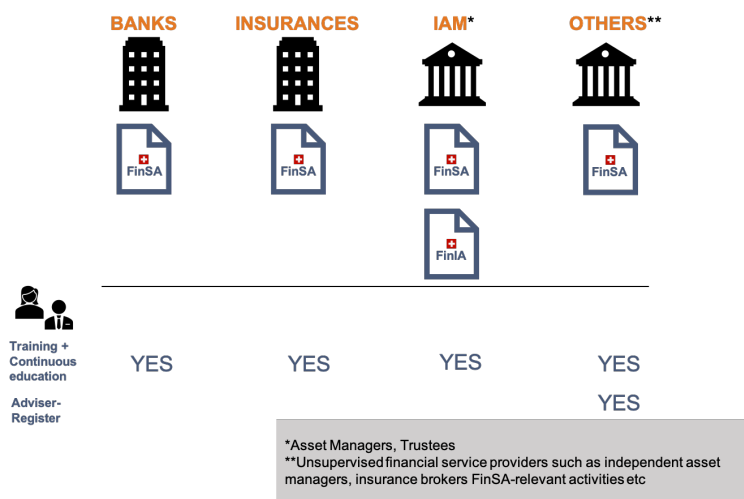
**Mendo** 

# FINSA-Compact – Code of Conduct

## For FINSA-compliant client advice!

Article 6 of the Federal Act on Financial Services **FinSA** requires that client advisers must possess **professional expertise and knowledge of the code of conduct** to offer financial instruments and render financial services. For employees of FINMA-supervised financial institutions, e.g. banks and insurance companies, as well as independent asset managers, the responsibility lies with the employer, according to FinIA. Employees of other institutions and self-employed financial service providers must get themselves listed in a FINMA-approved **register of advisers**.

## Who must register in one of the advisor registers under the FINSA?



The online course **FinSA-Compact – Proof of Knowledge: Code of Conduct** certifies that the candidate possesses the necessary knowledge of the code of conduct and is recognised by register of advisers Regservices.ch as proof of training. Regservices.ch is a FINMA-licensed register of advisers as stipulated by FinSA.

This online course is aimed at consultants who only need proof of knowledge of the code of conduct. These consultants will already possess proof of knowledge for the necessary professional expertise e.g. from an earlier training or continuing education programme.

We recommend that consultants seeking proof of professional expertise should qualify as certified asset managers by completing the IAF training course which fulfils statutory requirements.

## For further information / registration:

<https://finanz-elearning.ch/courses/1331-finsa-compact-proof-of-knowledge-of-finsa-code-of-conduct/>

## Facts + Figures

### Upon completion

Certificate from Mendo Ltd.  
**FinSA-Compact** Proof of knowledge Code of Conduct

### Accreditations

Recognised as proof of knowledge by all FinSA advisor registers and by the VSV. Recognised by Cicero and SAQ as proof of continuing education.

### Workload

On-the-job course, 100% workload possible.

### Duration

Online course will be available for 3 months

### Price

CHF 360.00

### Participants

Consultants and advisers who need proof of knowledge of FinSA Code of Conduct.

## **Mendo Web – Online course with proof of knowledge**

### **1331– FinSA-Compact – Proof of Knowledge of FinSA Code of Conduct**

#### **Broad description**

The subject matter of this online course is the Financial Services Act (FinSA) which is the legal basis to render investment consulting and offer financial products. This course also provides a broad overview of the Financial Institutions Act (FinIA) which regulates the activities of investment managers.



This online course ends with a test and is recognised by all registers of advisers as proof of knowledge of FinSA rules of conduct

**Number of lessons:**        **6**

#### **Learning goals**

The participants will:

- get an overview of FinSA and FinIA and learn where they are applied
- become familiarised with the duties defined in FinSA that must be fulfilled to provide financial services and offer financial instruments.
- learn to identify the implications of FinSA (with respect to financial service providers and client segments) in various situations














#### **Regular duration**







Access authorizations will remain valid for three months after starting the first lesson. Thereafter access will be blocked automatically.

#### **General terms and conditions**

Kindly take note of our general terms and conditions. These may be found in Mendoweb.

## Methodology

No.	Method	Topic / content	Medium	Duration in minutes
1		<b>Reading task: script “FinSA and FinIA - Overview”</b> Active reading of foundation script, make personal notes, individual summary	E-script 3 pages	18
2		<b>Work through training video “FinSA Overview”</b>	1 Training video	5
3		<b>Reading task “The Financial Services Act (FinSA)”</b> Active reading of foundation script, make personal notes, individual summary	E-script 9 pages	54
4		<b>Work through training video “FinSA Provider and Offer”</b>	1 Training video	5
5		<b>Work through training video “FinSA Offer”</b>	1 Training video	5
6		<b>Work through training video “FinSA Financial Service”</b>	1 Training video	5
7		<b>Work through training video “FinSA Client Segmentation”</b>	1 Training video	5
8		<b>Reading task “FinSA Code of Conduct”</b> Active reading of foundation script, make personal notes, individual summary	E-script 6 pages	36
9		<b>Work through training video “FinSA Overview of Code of Conduct”</b>	1 Training video	5
10		<b>Work through training video “FinSA Information Documentation and Rendering of Account”</b>	1 Training video	5
11		<b>Reading task “FinSA - Organisational Requirements”</b> Active reading of foundation script, make personal notes, individual summary	E-script 4 pages	24
12		<b>Work through training video “FinSA Organisational Measures”</b>	1 Training video	5
13		<b>Reading task “FinSA Register of Advisers”</b> Active reading of foundation script, make personal notes, individual summary	E-script 3 pages	18

No.	Method	Topic / content	Medium	Duration in minutes
14		<b>Work through training video “FinSA register of advisers”</b>	1 Training video	5
15		<b>Reading task “FinSA: Consequences for Client Advisers”</b> Active reading of foundation script, make personal notes, individual summary	E-script 4 pages	24
16		<b>Reading task “FinIA - Overview”</b> Active reading of foundation script, make personal notes, individual summary	E-script 5 pages	30
17		<b>Reading task “Investment consulting and asset management in agency law”</b> Active reading of foundation script, make personal notes, individual summary	E-script 4 pages	24
18		<b>Course completion test</b> Test passed and course completed if 80% answers correct	E-Test 10 questions	10
19		<b>Course completion test for FinSA Code of Conduct</b> Test passed and course completed if 65% answers correct <i>Successful participants will receive a certificate issued by Mendo AG, which can be submitted as proof of knowledge for listing in the register of advisers.</i>  <i>Participants who do not pass the final test may repeat the test. The cost amounts to CHF 50.00</i>	E-Test 20 questions	20

### Methodology icon legend:

Reading task		Training video		Test	
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## Our goals

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**Examination success:** Participants are prepared in such a way that their chances of successfully completing the examinations are ensured.

**Benefits for practice:** Participants gain experience and knowledge that directly benefits them in their daily practice.

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**collegial - practical - challenging**