

Mendo Web - Online Course (Continuing Education)

1335 - Refresher FinSA

Code of conduct when offering financial instruments

General description

This online course offers an in-depth view of the offer of financial instruments and the corresponding rules of conduct for client advisors as a refresher on FinSA. According to Art. 2 No. 1.c, the creators and providers of financial instruments are covered by the Federal Act on Financial Services (FinSA). This therefore also applies to the distribution of investment funds. Which forms of investment are affected by the scope of FinSA? What about the newer forms of investment in digital assets? What is a key information document and when must it be drawn up and made available to clients? What rules of conduct must client advisors observe? The online course addresses these questions.

Number of lessons: 3 (2 Learning hours)

Learning objectives "1335 - Refresher FinSA - Code of conduct in the offer of financial instruments"

The participants...

- Are able to distinguish between financial instruments under FinSA and non-subordinated investment opportunities.
- Know FinSA rules of conduct for transaction-related advice and the distribution of financial instruments (in particular the appropriateness test).
- Know the legal basis for the Key Information Document (KID) according to FinSA and can interpret such a KID.

Accreditation(s):

Recognised as a refresher course by the Swiss registers of advisors under FinSA (knowledge of the rules of conduct for renewal of registration in the register of advisors). The online course has also been recognised by Cicero and the SAQ (all certificates for "behaviour").










Standard runtime


After starting the lesson, the access data remains valid for 3 months. After that, the access expires automatically.

General terms and conditions

We refer to our general terms and conditions. These can be found at www.mendoweb.ch.

Methodology description

No.	Method	Topic / Content	Medium	Duration in mins.
1		Work through training video “FinSA Overview of Code of Conduct”	1 training video	5
2		Work through training video “FinSA Offer”	1 training video	5
3		Reading task “ Financial instruments under FinSA ” Active reading of foundation script, make personal notes, individual summary	E-Script <i>8 pages</i>	48
4		Work through training video “Financial Instruments under FinSA”	1 training video	5
5		Reading task „Rules of conduct for the distribution of financial instruments“ Active reading of foundation script, make personal notes, individual summary	E-Script <i>5 pages</i>	18
6		Reading task „Key Information Document “ Active reading of foundation script, make personal notes, individual summary	E-Script <i>2 pages</i>	12
7		Reading task Sample copy „Key Information Document “ Actively read the example of a key information document, record personal notes, individual summary	E-Script <i>3 pages</i>	18
8		Work through training video „Reading a key information document“	1 training video	5
9		Final questions online course Test passed and course completed: min. 80% correct answers.	E-Test <i>6 questions</i>	6

No.	Method	Topic / Content	Medium	Duration in mins.
10		Final test for Refresh according to FinSA Test passed and proof of knowledge obtained: min. 70% correct answers. <i>Successful graduates receive a certificate from Mendo Ltd. which can be submitted to the register of advisors as proof of knowledge for the rules of conduct according to FinSA (renewal of registration).</i> <i>If you do not pass the final exam, we offer the possibility of a retake exam. This costs CHF 50.00.</i>	E-Test 10 questions	15

Icons Methodik:

Reading task		Training video		Test	
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