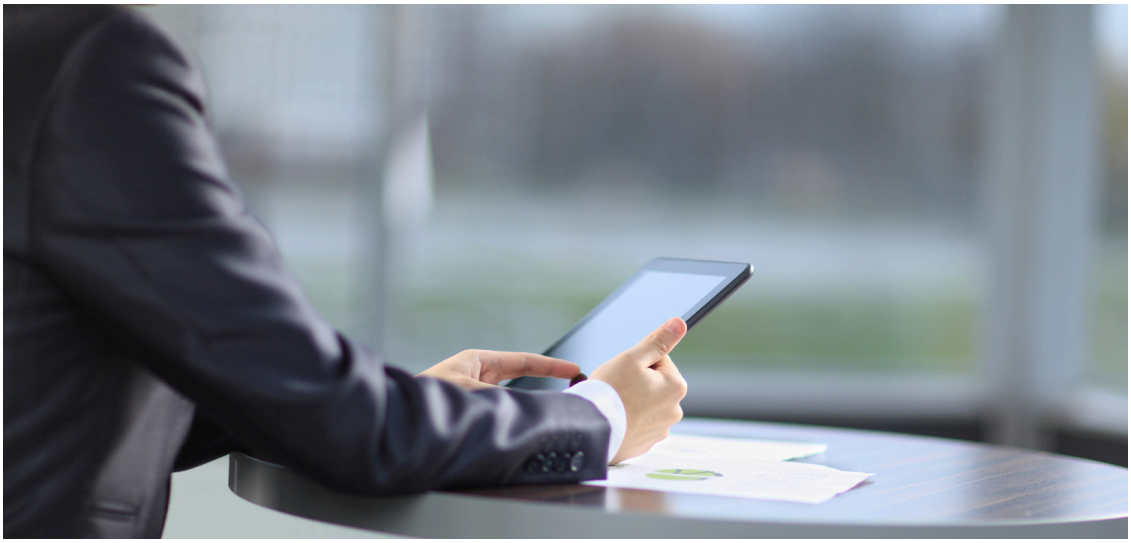
FinSA-Compact
Proof of knowledge
Code of Conduct

Proof of knowledge of FinSA



MENDO TRAINING COURSES - AN INNOVATIVE PATH TO LEARNING

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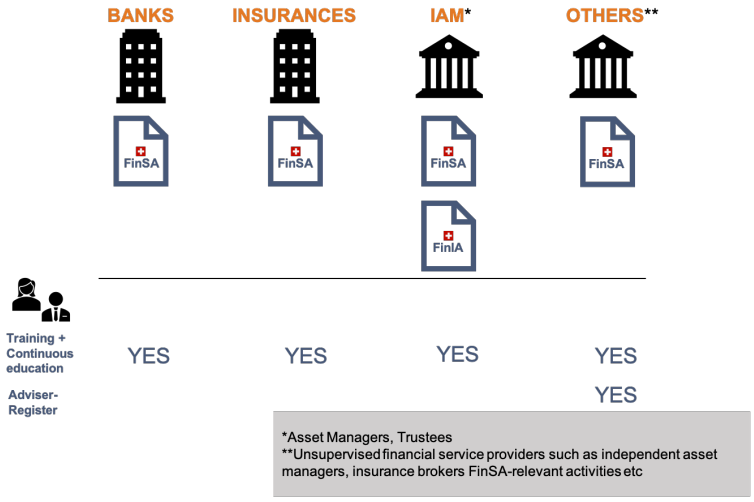
Welcome to Mendo

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**.



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.

Facts + Figures

UPON COMPLETION

Certificate from Mendo Ltd.

FinSA-Compact
Proof of knowledge Code of Conduct

ACCREDITATIONS

Register Registre

WORKLOAD

On-the-job course, 100% workload possible

DURATION

Online course will be available for 3 months

PARTICIPANTS

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

PRICE

CHF 360.00

INFORMATION AND REGISTRATION

See www.finanz-elearning.ch

Direct link to course and registration

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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.

Register Registre

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.

Other accreditation(s)

Akkreditiertes Cicero Bildungsangebot

No. of credits 6

Zertifizierter Kundenberater SAQ

Number of learning hours 5

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.

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Methodology

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

No.	Method	Topic / content	Medium	Duration in minutes
12		**Work through training video "FinSA Organisational Measures"**	1 Training video	5
13		**Reading task "FinSA Register of Advisers"** Active reading of foundation script, make personal notes, individual summary	E-script *3 pages*	18
14		**Work through training video "FinSA register of advisers"**	1 Training video	5
15		**Reading task "FinSA: Consequences for Client Advisers"** Active reading of foundation script, make personal notes, individual summary	E-script *4 pages*	24
16		**Reading task "FinIA - Overview"** Active reading of foundation script, make personal notes, individual summary	E-script *5 pages*	30
17		**Reading task "Investment consulting and asset management in agency law"** Active reading of foundation script, make personal notes, individual summary	E-script *4 pages*	24
18		**Course completion test** Test passed and course completed if 80% answers correct	E-Test *10 questions*	10
19		**Course completion test for FinSA Code of Conduct** Test passed and course completed if 65% answers correct *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.* *Participants who do not pass the final test may repeat the test. The cost amounts to CHF 50.00*	E-Test 20 questions	20

Methodology icon legend:

Reading task		Training video		Test	

We focus on the following training goals:

- **Pass test**: Participants will be trained to pass all tests.
- **Practical use**: Participants will gather experience and knowledge which they can directly use in day-to-day work.

Mendo Ltd.

Neuengasse 20
3011 Bern

Tel +41 31 380 10 03
Mail info@mendo.ch
Internet www.mendo.ch
www.finanz-elearning.ch

Convincing – Hands-on – Up-to-date

Zum Video