

FINANCIAL SERVICES ACT - FINSA - REFRESHER COURSE FOR CLIENT ADVISERS

ACCREDITATIONS: recognised by all three FINMA-approved registration authorities BX Swiss (RegServices), ARIF, PolyReg (Reg-Fix)

SCOPE: FinSA code of conduct proof of knowledge for the renewal of the adviser's registration.

COURSE STRUCTURE:

CHAPTER	TYPE	CONTENT	LENGTH (MINUTES)
BASICS: FINSA SCOPE, REGISTRATION REQUIREMENTS, CLIENT SEGMENTATION			
1	Video	Overview of FinSA scope and client segmentation	6
2	Video + Notes	Adviser registration obligations and requirements	4 + 18
FINSA CODE OF CONDUCT AND CONFLICTS OF INTEREST			
3	Video + Quiz	FinSA code of conduct and conflicts of interest overview	15 + 6
4	Notes	<i>In-depth:</i> information duties with respect to costs, affiliations, retrocessions and market offer. <i>Active reading.</i>	16
5	Video + Notes	<i>In-depth:</i> financial instruments and related obligations for advisers. <i>Active reading.</i>	4 + 37
OTHER FINANCIAL MARKET REGULATIONS AND REGULATORY CHANGES			
6	Video	FinMIA and insider trading	3
7	Video	Anti-Money-Laundering Act (AMLA)	4
8	Video	Collective Investment Schemes Act (CISA) <i>Note: CISA is also discussed in chapter 5.</i>	1
9	Video + Notes	ESG and Greenwashing	2+8
THE AGENCY CONTRACT ACCORDING TO THE SWISS CODE OF OBLIGATIONS			
10	Video	The Agency contract and its implications for investment advisers	5
11	Video	Jurisprudence: practical implications for investment advisers	3
PRACTICE : CASE STUDIES			
12	Video	Transaction-specific advice	3
13	Video	Portfolio advice, close association and disclosures	4
INFORMATION & NOTIFICATION CHECKLIST			
14	Notes	Checklist for final review and practical use	15
REVIEW EXAM			
15	Exam/Test	Review exam (whole course): multiple choice + open answers	30

TOTAL LENGTH: ca. 3h00 including exam. The above lengths in minutes for the active reading tasks are indicative.

CERTIFICATE: issued subject to successful test completion.

ADDITIONAL FEATURES: notes that can be used as day-to-day support

COST: CHF 290, payable online with credit card.

URL: <https://use.qortex.ch/finsa-refresher-course>

If you need more information:

Qortex GmbH

Email: info@qortex.ch

Tel: +41 44 586 84 39

Your contact person: Stefano Charrey