

# Diploma supplement

## 1. Information identifying the holder of the qualification

1.1 Family name(s)	Muster
1.2 First name(s)	Peter
1.3 Date of birth	01.01.2000
1.4 Student number	1234.5678.90

## 2. Information identifying the qualification

### 2.1 Name of qualification and awarded title

**Expert in finance and investment  
Advanced Federal Diploma of Higher Education**

Finanz- und Anlageexpertin/Finanz- und Anlageexperte mit eidg. Diplom  
Experte/Expert en finance et investissements avec diplôme fédéral  
Esperta/Esperto in finanza e investimenti con diploma federale

### 2.2 Main field(s) of study for the qualification

Training for the qualification Expert in finance and investment, Adv. Fed. Diploma of Higher Education

### 2.3 Name of awarding institution

State Secretariat for Education, Research and Innovation SERI, Einsteinstrasse 2, CH-3003 Bern,  
[www.seri.admin.ch](http://www.seri.admin.ch)

### 2.4 Name of institution administering qualification

Swiss Financial Analysts Association - SFAA, Feldstrasse 80, CH-8180 Bülach,  
[www.sfaa.ch](http://www.sfaa.ch)

### 2.5 Language(s) of instruction/examination

German, French, Italian or English

## 3. Information on the level of the qualification

### 3.1 Level of qualification

**National Qualifications Framework for Vocational and Professional Qualifications: Level 7**  
**European Qualifications Framework: Level 7**  
**Tertiary-level qualification (professional education)**

Comprised of eight reference levels, the National Qualifications Framework for Vocational and Professional Qualifications is a translation instrument. See point 8. Information on the national education system.

### 3.2 Length of programme

The scope and duration of training are not regulated. The qualification procedure is regulated.



This diploma supplement is based on Article 4 paragraph 2 of the Ordinance of 27 August 2014 on the National Qualifications Framework for Vocational and Professional Qualifications (NQF-VPQ-O, SR 412.105.1). This diploma supplement follows the model developed by the European Commission, Council of Europe and UNESCO/CEPES (Decision No. 2241/2004/EC). The purpose of the diploma supplement is to provide sufficient data to improve the international transparency and fair academic and professional recognition of qualifications (diplomas, degrees, certificates etc.). It describes the nature, level, context, content and type of training and education pursued and successfully completed by the individual named on the original qualification to which this supplement is appended. The diploma supplement is free of value judgements, equivalence statements or recommendations on recognition.

### 3.3 Access requirements

The following is required for admission to the examination:

- a) Vocational Education and Training (VET) diploma, baccalaureate or equivalent qualification, and at least 5 years of work experience in the field of banking or finance; or
- b) Qualification awarded upon successful completion of a federal examination or a study program at a professional higher education institution, Bachelor's degree or equivalent awarded by a Swiss university of applied sciences or equivalent qualification, and at least 3 years of work experience in the field of banking or finance; or
- c) University Diploma (Bachelor, Master or PhD) or equivalent qualification, and at least 2 years of work experience in the field of banking or finance.

## 4. Information on the contents and results gained

### 4.1 Mode of study

Federal examination

### 4.2 Qualification requirements

Experts in finance and investment are service providers in the field of wealth management and private banking. Their tasks include acquiring, retaining and advising high net worth individuals, entrepreneurs and family offices, and in certain cases institutional clients, on complex financial and investment issues. In doing so, they consider the requirements of their demanding clientele and ensure that the assets under management develop with due consideration of the risks. They also identify problems in the areas of financial, succession and tax planning and, if necessary, involve experts from their internal and external network in the advisory process. They analyse the results achieved and propose new advisory and investment approaches. In their work, they consider the current economic situation, the legal and tax frameworks, and guidelines in the areas of governance and sustainability. Experts in finance and investment assume leadership positions within private banks and wealth management firms. In this role, they develop strategies for the further development of their area of responsibility and the company. They have strong organisational skills, a high level of negotiation skills and proven management competencies.

### 4.3 Qualification details

Experts in finance and investment

- develop business strategies for markets and market segments, organise acquisition activities, analyse client documents and prepare complex contractual relationships to take on new clients;
- determine risk profiles, assess investment constraints and biases, implement strategies to hedge risks, recommend sustainable and socially responsible investments, and monitor the performance and risks of the portfolios of their clients;
- assist corporate clients in analysing and evaluating the company's financial position;
- optimise the wealth situation of their clients at the different stages of their lives;
- know how to incorporate financial, succession and tax planning aspects into their advice;
- have the ability to build up an internal and external network of experts and, where necessary, involve these experts in advising their clients;
- lead wealth management teams, promote the professional development of employees, raise awareness of regulatory and compliance risks and monitor compliance with the principles of professional ethics and the guidelines for sustainable corporate development.

#### 4.4 Grading scheme, grade distribution guidance

The presence of the diploma confirms that the candidate has obtained the corresponding qualification.

#### 4.5 Overall classification

The presence of the diploma confirms that the candidate has obtained the corresponding qualification.

### 5. Information on the function of the qualification

#### 5.1 Access to further levels of training\*

For an overview of the possible paths of education and training, see point 8: 'The Swiss education system'.

\* The decision regarding admission rests with the admitting institution.

#### 5.2 Professional status

The diploma entitles the holder to use the legally protected title of 'Finanz- und Anlageexpertin / Finanz- und Anlageexperte mit eidgenössischem Diplom – Experte / Expert en finance et investissements avec diplôme fédéral – Esperta / Esperto in finanza e investimenti con diploma federale – Expert in finance and investment, Advanced Federal Diploma of Higher Education'.

### 6. Additional information

#### 6.1 Additional information

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#### 6.2 Additional information sources

Additional information (including a description of the national education system):

[www.seri.admin.ch](http://www.seri.admin.ch), [www.berufsberatung.ch](http://www.berufsberatung.ch), [www.bfs.admin.ch](http://www.bfs.admin.ch), and

[www.sfaa.ch](http://www.sfaa.ch)

### 7. Certification of the supplement

This diploma supplement refers to the following original documents:

– Ordinance of 27 August 2014 on the National Qualifications Framework for Vocational and Professional Qualifications (NQF-VPQ-O, SR 412.105.1);

Examination rules dated 5th August 2020

State Secretariat for Education, Research and Innovation SERI  
The State Secretary

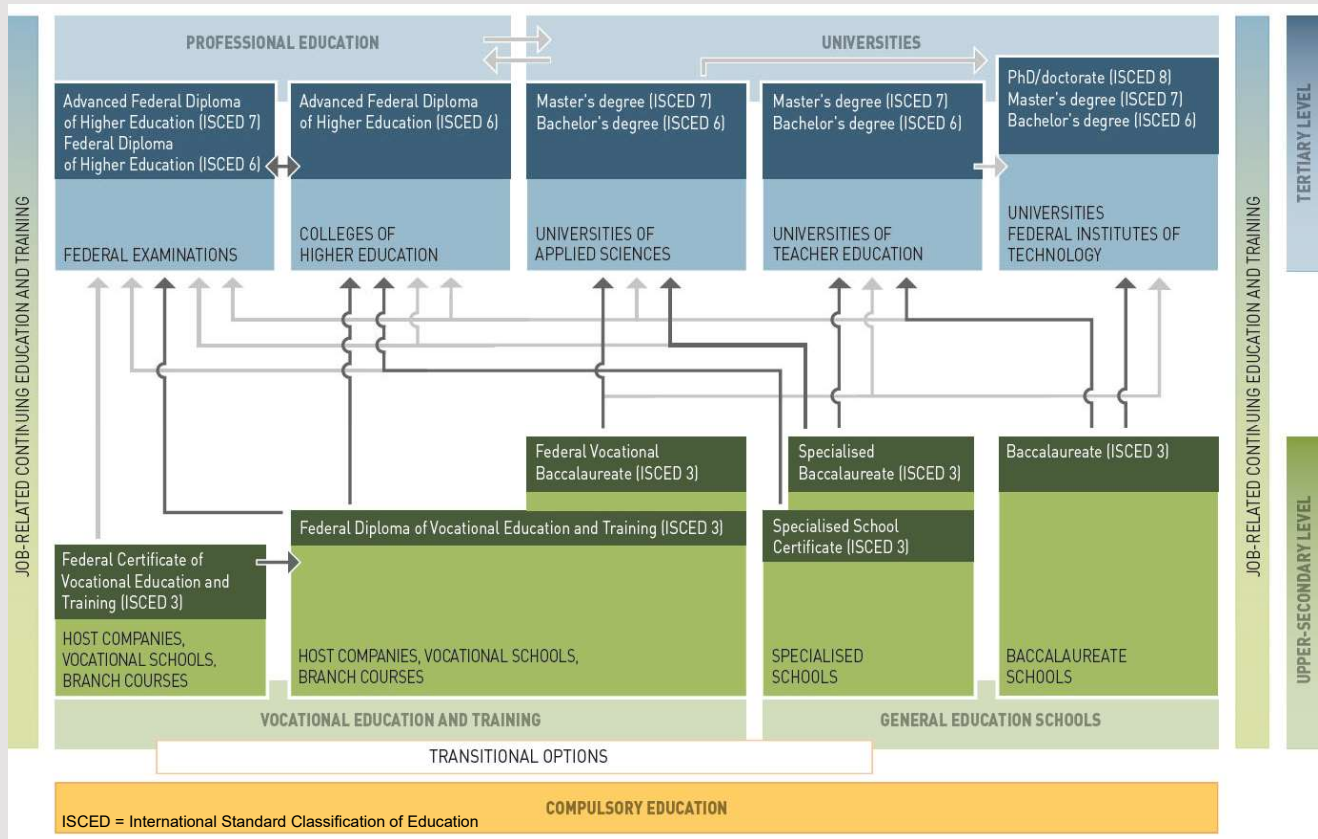


Martina Hirayama

Date of issue of diploma supplement:

**Issued by:** National reference point: State Secretariat for Education, Research and Innovation SERI,  
[www.seri.admin](http://www.seri.admin)

## 8. Information on the national education system



### Tertiary-level professional education

In Switzerland, tertiary-level education is divided into two sectors: the professional education sector and the university sector. There are two main pathways to tertiary-level professional qualifications: preparation for a federal examination for the Federal Diploma of Higher Education or the Advanced Federal Diploma of Higher Education; and study at a college of higher education leading to issuance of an Advanced Federal Diploma of Higher Education. Access to the professional education sector is open to holders of upper-secondary level vocational qualifications who have gained several years of work experience.

Professional education is highly practical in nature and consistently geared to the needs of the labour market. Professional organisations establish training content and ensure the quality of training programmes and examinations. Applied learning is encouraged as it enables new expertise to be quickly implemented and ensures a rapid rate of innovation. Holders of tertiary-level professional qualifications are highly skilled professionals who are able to handle challenging tasks as well as managers taking on a high level of responsibility. Holders of professional qualifications often hold executive positions and manage their own company.

### Upper-secondary level vocational education and training (VET)

State-regulated vocational education and training (VET) is the standard pathway leading to tertiary-level professional education. The Swiss VET sector comprises two-year programmes for the Federal VET Certificate as well as three- and four-year programmes for the Federal VET Diploma. Swiss VET programmes consistently combine theory and practice and provide learners with the knowledge and skills needed to work in the chosen occupation with little need for outside supervision. In addition to technical expertise, learners acquire methodological, social and personal competences. Most Swiss VET programmes are of the dual-track variety, meaning that training content is distributed across two main learning locations (vocational schools, which handle classroom instruction, and host companies, which handle apprenticeship training) and in some cases also a third learning location (branch training centres, which provide learners with training content not already covered by the first two training locations). There are also VET programmes where learners undergo full-time training at a vocational school. In both cases, it is very common for holders of vocational qualifications to be hired directly after graduation. Once holders of vocational qualifications have gained extensive work experience, they may go on to pursue tertiary-level professional education.

### Swiss education system

There are two main pathways within the Swiss education system, both spanning upper-secondary and tertiary level: vocational/professional, on the one hand, and general education/university, on the other. While it is possible to switch between these two pathways at any time and at any level, in some cases, certain conditions apply. Generally speaking, the Swiss education system is highly permeable in this manner.

### National Qualifications Framework for Vocational and Professional Qualifications (NQF VPQ)

Comprised of eight reference levels, the National Qualifications Framework for Vocational and Professional Qualifications (NQF VPQ) is a translation instrument. By mapping these reference levels to those found in the EU's European Qualifications Framework for lifelong learning (EQF-LLL), it is possible to compare Swiss qualifications with those of other countries.

Additional information can be found here: [www.supplementprof.ch](http://www.supplementprof.ch)