



Offer

The continuing education programme AZEK FinSA provides client advisors with the knowledge of FinSA rules of conduct and specialist knowledge required by the legislator. The live online seminars enable direct exchange with lecturers and participants. The theoretical knowledge imparted is deepened and consolidated using practical examples. Participants can acquire the knowledge flexibly according to their needs.

Benefit

- Targeted and effective continuing education
- Attractive, interactive format with live online modules
- Award of the AZEK Certificate FinSA (proof of training)

Target Audience

The programme is aimed at financial advisors, client advisors, investment advisors, financial planners and specialists in support functions in client advisory services.

Learning Objectives

- **FinSA:** Regulatory framework and its application in the relationship between financial service provider and client
- **ESG:** Market overview of ESG investments with definitions and concepts. Presentation of regulatory developments and trends as well as discussion of sustainability strategies.

Content

FinSA rules of conduct

FinSA Essentials

- Regulatory Framework, sense and purpose of the regulation
- New mandatory requirements for the classification of customers, in particular within the framework of the Collective Investment Schemes Act (CISA).
- Applicable regulation for the relationship between financial service provider and client
- Interactions between multiple financial service providers: Banks - external asset managers - clients

FinSA Advanced

- Private banking and wealth management activities in an environment of changing regulations and court cases

ESG Expertise

ESG 1: Market overview

- Growth market sustainable investments: definitions, concepts and classification
- Performance, regulatory developments and trends
- Growth factors

ESG 2: ESG- or sustainability strategies

- Concrete design
- Advantages and disadvantages of different strategies
- Climate change: identification and reduction of climate risks as well as investment strategies to promote climate-friendly technologies and/or companies

Format

4 online seminars of 2 hours each. The seminars will be recorded and the associated presentations, including references and further reading, will be posted on the AZEK learning platform.

Start and Duration

The course is offered twice a year, in spring and fall. The dates of the seminars are published on www.azek.ch.

Certificate

The AZEK FinSA certificate for advisors at a FINMA-supervised organisations requires participation in the four seminars (two on FinSA rules of conduct and two on ESG) per calendar year.

The FinSA Certificate for Advisor Registers is awarded for participation in the two seminars on FinSA rules of conduct per calendar year.

Languages

French or German

Costs

AZEK Certificate (4 seminars)	CHF 1'200
AZEK Certificate Beraterregister (2 seminars)	CHF 600

For more information and any further questions

AZEK } +41 (0)44 872 35 35
Feldstrasse 80 ☒ info@azek.ch
8180 Bülach www.azek.ch

Lecturers



Yvar Mentha

As a holder of a license to practice law, he worked for more than 20 years in a leading private bank, first in the legal service and then for 15 years in various management functions in asset management. He was a board member of the SFA (Swiss Funds Association) for 10 years and acted as a representative of private bankers several times in the revision of the SBA's guidelines for asset management mandates.

At BRP, Yvar is primarily involved in advising banks on collective investment schemes as well as individual asset management.



Benjamin Kurmann, Counsel

As a holder of a license to practice law and an Executive Master of European and International Business Law from the University of St. Gallen (E.M.B.L.-HSG)

Benjamin started his career in an internationally renowned Zurich law firm for business and private law. He then joined the private banking department of a major Swiss bank.

At BRP, Benjamin is primarily involved in advising and training banks and financial intermediaries in the cross-border area. He also heads the Zurich office.



Dr. Ingeborg Schumacher-Hummel

Ingeborg Schumacher-Hummel has more than 20 years of experience in the field of sustainable investments. With her company Responsible Impact Investing she advises investors as well as financial service providers on the development and implementation of a sustainable investment strategy. She is a board member of the Forum Nachhaltige Geldanlagen (Forum for Sustainable Investments) and a lecturer in teaching and research.

After studying business administration and ecology, she worked for various banks in the development of the sustainable fund range or a responsible investing strategy. She has a PhD on the role of pension funds as active shareholders.



Jean Laville

Jean Laville has been a partner of Conser Invest, an independent sustainable investment solutions company and Deputy CEO of Swiss Sustainable Finance, since 2012. He has been active in the field of responsible investment for over 20 years using quantitative tools to systematically screen the fund universe. From 2002 to 2012, he was deputy director of the Ethos Investment Foundation and before that asset manager at Banque Pictet in Geneva. Jean Laville is co-founder of Sustainable Finance Geneva and a member of its Board of Directors. He also teaches Sustainable Finance at universities, universities of applied sciences and business schools.

He studied economics at the HEC Lausanne and completed the PhD program at the Graduate Institute of International and Development Studies Geneva.