

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	01.01.1990
1.4 Student number	

2. Information identifying the qualification

2.1 Name of qualification and awarded title

**Associate Wealth Manager
Federal Diploma of Higher Education**

Vermögensberaterin/Vermögensberater mit eidgenössischem Fachausweis
Conseillère/Conseiller en gestion de patrimoine avec brevet fédéral
Consulente in gestione patrimoniale con attestato professionale federale

2.2 Main field(s) of study for the qualification

Training for the following qualification: Wealth Manager, Federal 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

2.4 Name of institution administering qualification

SFAA Swiss Financial Analysts Association, Feldstrasse 80, CH-8180 Bülach
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 5
European Qualifications Framework: Level 5
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

- a) Federal Diploma of Vocational Education and Training, university entrance qualification, or equivalent qualification and three years of work experience in banking or finance
or
- b) Tertiary-level professional qualification awarded either through a federal professional examination or upon successful completion of a study programme at a professional education institution, or a Bachelor's degree from a university of applied sciences, or equivalent qualification plus two years of work experience in banking or finance
or
- c) Bachelor's degree, Master's degree or PhD or equivalent qualification awarded by a Swiss cantonal university or federal institute of technology plus one year of work experience in banking or finance

4. Information on the contents and results gained

4.1 Mode of study

Federal examination

4.2 Qualification requirements

Holders of this qualification provide asset management and investment advisory services. As part of their institution's strategy, they take part in activities aimed at attracting new clients, taking into account cross-border restrictions.

They identify the investment needs, objectives and limitations of their clients depending on the client's life-cycle phase. They take into account the regulatory, tax and organisational environment. They also ensure that the services used by clients match their financial situation, investment objectives, investment knowledge and experience. They advise on investment decisions, inform their clients about risks and report on the services they provide. Finally, they handle asset management mandates and execute transactions involving financial instruments.

4.3 Qualification details

Holders of this qualification are mainly responsible for the following:

- administrative steps for creating customer accounts
- compliance with regulatory requirements and guidelines of their institution
- providing information on contractual details and costs of their services
- Explaining the content and legal ramifications of documents presented to clients for signature.
- deciding investment strategies on the basis of client needs and in accordance with the institution's requirements and how these are implemented or commissioned to service providers specialised in portfolio management
- monitoring the performance of client portfolios and providing regular information on asset performance
- choosing suitable solutions and financial instruments that take into account needs and limitations
- submitting orders, monitoring their execution and verifying that all transaction conditions are consistent with market conditions and agreed prices.
- applying for Lombard loans in accordance with the practices of their institution.

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

Holders of this qualification work for banks engaged in asset management (private banking), independent asset management companies, fiduciary companies or any other company specialising in asset management and investment advice. They also work closely with specialists in various fields.

Their operational skills enable them to supervise the work of a front office team and prepare employees for their tasks, organise work processes within the team, implement workflows and check the tasks performed by team members.

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, www.berufsberatung.ch, www.bfs.admin.ch, and

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 27 June 2018

State Secretariat for Education, Research and Innovation SERI
Deputy Director

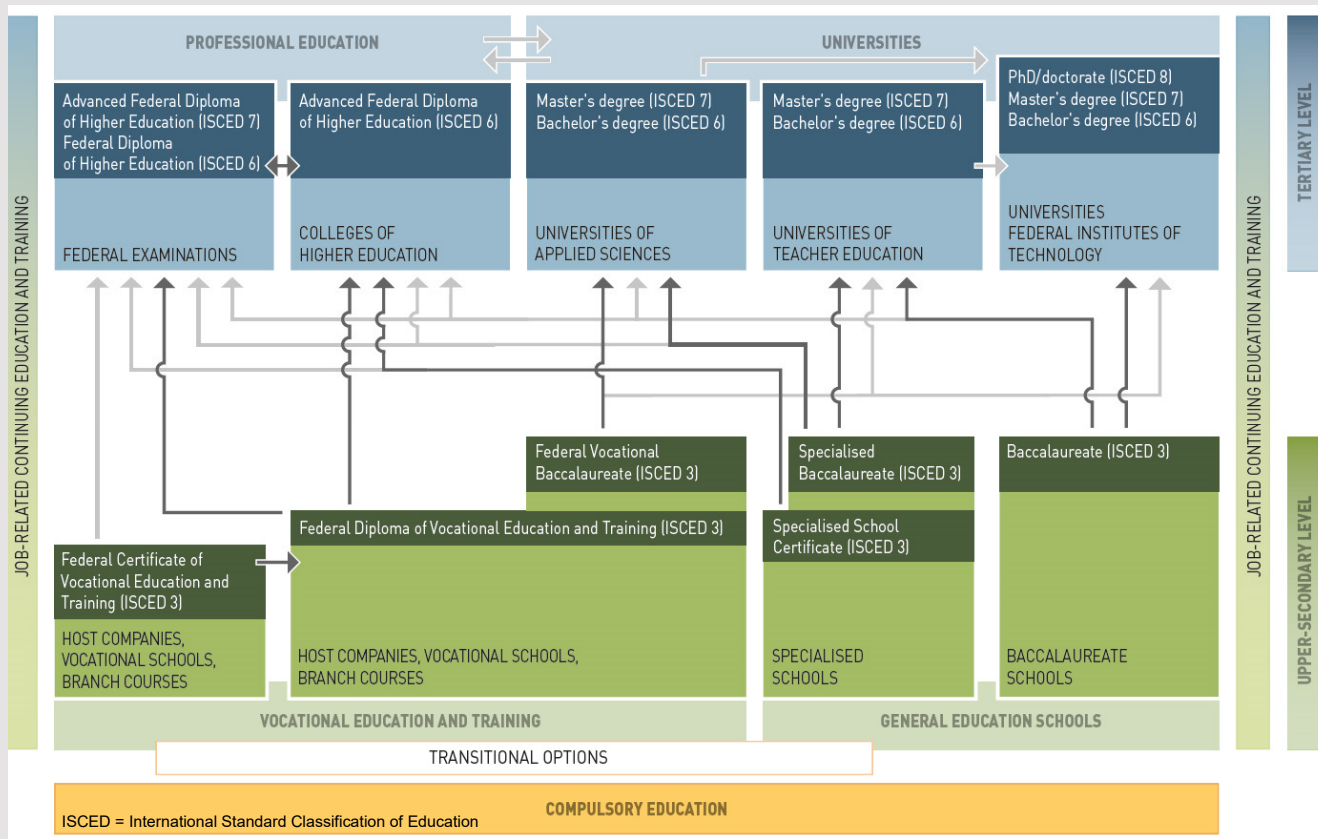


Josef Widmer

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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