

# 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

**Technician in Financial Market Operations  
Federal Diploma of Higher Education**

Technikerin/Techniker in Finanzmarktoperationen mit eidgenössischem Fachausweis  
Technicienne/Technicien en opérations des marchés financiers avec brevet fédéral  
Tecnica/Tecnico in operazioni di mercati finanziari con attestato professionale federale

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

Training for the Technician in Financial Market Operations, 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](http://www.seri.admin.ch)

### 2.4 Name of institution administering qualification

SFAA Swiss Financial Analysts Association, 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 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

#### Admission requirements

- a) Federal Diploma of Vocational Education and Training, university entrance qualification, or equivalent qualification and at least three years of work experience in banking or finance, IT, accounting, auditing or compliance
- 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, IT, accounting, auditing or compliance
- 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 at least one year of work experience in banking or finance, IT, accounting, auditing or compliance

## 4. Information on the contents and results gained

### 4.1 Mode of study

Federal examination

### 4.2 Qualification requirements

Holders of this qualification provide operational support services for the management, trading, deposit and administration of financial instruments.

They know what to do at every stage of the financial instrument settlement process and organise their tasks in this process. They handle transactions resulting from trades in financial instruments as well as transactions related to deposit services offered by a custodian bank. They communicate in English and at least one other language and understand and use the technical terminology of the people they interact with.

### 4.3 Qualification details

Holders of this qualification are mainly responsible for the following:

- knowing the characteristics of the financial instruments most frequently used by their clients and their purpose within a portfolio
- analysing their working environment
- verifying the accuracy of transactions and ensuring proper settlement
- monitoring the clearing process, issuing instructions for settlement, validating entries in the books and ensuring settlement between the correspondent institutions
- validating the transactions for which they are responsible, identifying and correcting processing errors
- managing pending transactions using a risk-oriented approach
- adhering to applicable regulatory provisions regarding the valuation of securities positions of clients and the institution
- preparing reports on the performance of client portfolios
- answering operational questions from clients or referring specialists to them
- working with the various departments of the institution to develop tailor-made operational solutions
- providing information to their clients and their contact partners

#### 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 in the back or middle office of a financial institution. Their operational expertise also allows them to manage operational risks or work for audit firms, specialised software companies or regulatory authorities.

They monitor the activities of an operational support team, prepare employees for their tasks, organise the work processes of the team, establish workflows and monitor 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](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 18 October 2017

State Secretariat for Education, Research and Innovation SERI  
Deputy Director

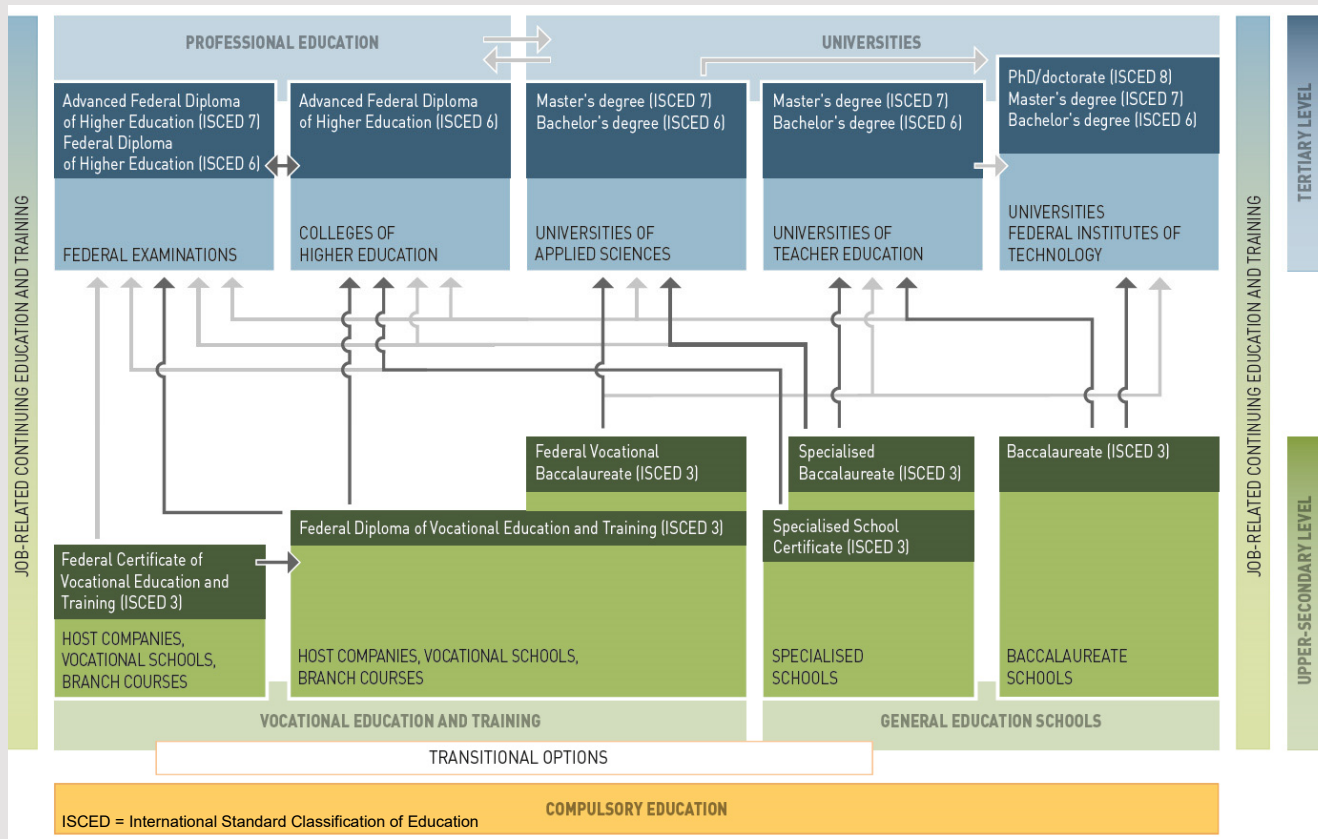


Josef Widmer

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[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)