Request for renewal of the existing entry in the Register of Advisers

1.1 Client Advisor[1]

First Name .....

Surname .....

Date of birth .....

☐ I hereby confirm that there have been **no changes** in the Register of Advisers since the last update (go directly to **item 3**)

☐ Since the last update in the Register of Advisers, there have been changes affecting the following items: ……..

1.2 Private address

Street .....

Post box No. .....

Postal code / Place .....

Telephone number .....

E-Mail Address .....

[1] **Attachment**: Dated and signed copy of **passport** or **identity card** of the client advisor; **only required in case of name change or new identification document**.

2. Financial services provider (employer)[2]

☐ I am self-employed as a financial services provider at the business address listed below.

Company .....

Street .....

Post box No. .....

Postal code / Place .....

Contact person

Mr. / Mrs. .....

First Name .....

Surname .....

Telephone number .....

E-Mail Address .....

☐ The financial service provider as employer is jointly and severally obliged with the client advisor to pay the registration fees pursuant to Art. 42 FINSA, in particular for the registration of the client advisor, the annual registration fee and for subsequent changes and deletions. In this case, the invoice is issued directly to the financial service provider.

Place, Date .....

Company signature of financial service provider: .....

[2] **Attachment:** Copy of the current **extract from the commercial register** concerning the financial service provider (Zefix PDF) and a copy of the employment contract or mandate contract.

2.1 Position and signature authority

Position of the client advisor within the organization:

- ☐ a. Member of the Board of Directors
- ☐ b. Member of the Management
- ☐ c. Managing Director or CEO
- ☐ d. Department Manager
- ☐ e. Senior client advisor
- ☐ f. Client advisor
- ☐ g. Client advisor in sales force
- ☐ h. Client adviser in training
- ☐ i. Other (please specify)

.....

Signature authority:

- ☐ a. Single signing authority
- ☐ b. Collective signature
- ☐ c. Single power of procuration
- ☐ d. Collective power of procuration
- ☐ e. No right of signature
- ☐ f. Other: .....

2.2 Function and advisory activities

Function of the client advisor within the organization:

- ☐ Investment advisory
- ☐ Pension planning advice
- ☐ Insurance advisory or consulting
- ☐ Advice/representation for collective investment schemes
- ☐ Advisory/consulting for financial instruments
- ☐ Other

Brief description of the position(s) and the effective activity within the position:

.....

.....

.....

.....

2.3 The advisory activities relate to the following financial instruments:

- ☐ Shares, participation or dividend right certificates and similar participation rights,
- ☐ Debt securities: securities that are not equity securities,
- ☐ Units or shares in collective capital investments,
- ☐ Structured products, particularly capital protected products, maximum return products and certificates,
- ☐ Derivatives, options,
- ☐ Deposits or other investments whose repayment value or interest rate is dependent on risk or exchange rate, except for those whose interest rate is linked to an interest rate index,
- ☐ Bonds,
- ☐ Following Insurance products: ……..
- ☐ There is a power of attorney for the "execution only" execution of orders from advisory clients.

Other: .....

2.4 Other financial services provider (employer)[3]

Company .....

Street .....

Post box No. .....

Postal code / Place .....

Position and signature authority

Position:

- ☐ a. Member of the Board of Directors
- ☐ b. Member of the Management
- ☐ c. Managing Director or CEO
- ☐ d. Department Manager
- ☐ e. Senior client advisor
- ☐ f. Client advisor
- ☐ g. Client advisor in sales force
- ☐ h. Client adviser in training
- ☐ i. Other (please specify)

.....

Signature authority:

- ☐ a. Single signing authority
- ☐ b. Collective signature
- ☐ c. Single power of procuration
- ☐ d. Collective power of procuration
- ☐ e. No right of signature
- ☐ f. Other: .....

Please complete a separate page per financial services provider

[3] **Attachment:** Copy of the current **extract from the commercial register** concerning the financial service provider (Zefix PDF) and a copy of the employment contract or mandate contract.

Function and advisory activities

Function of the client advisor within the organization:

- ☐ Investment advisory
- ☐ Pension planning advice
- ☐ Insurance advisory or consulting
- ☐ Advice/representation for collective investment schemes
- ☐ Advisory/consulting for financial instruments
- ☐ Other

Brief description of the position(s) and the effective activity within the position:

.....

.....

.....

.....

The advisory activities relate to the following financial instruments:

- ☐ Shares, participation or dividend right certificates and similar participation rights,
- ☐ Debt securities: securities that are not equity securities,
- ☐ Units or shares in collective capital investments,
- ☐ Structured products, particularly capital protected products, maximum return products and certificates,
- ☐ Derivatives, options,
- ☐ Deposits or other investments whose repayment value or interest rate is dependent on risk or exchange rate, except for those whose interest rate is linked to an interest rate index,
- ☐ Bonds,
- ☐ Following Insurance products: ……..
- ☐ There is a power of attorney for the "execution only" execution of orders from advisory clients.

Other: .....

Please complete a separate page per financial services provider

3. Self-declaration and documentation for the renewal of the register entry

3.1 Evidence of the required knowledge

☐ I hereby confirm that I have completed a recurrent training course of **at least 2 hours** in relation to the rules of conduct pursuant to Art. 7-19 and 25-27 FinSA[4].

3.2 Professional indemnity insurance

☐ I hereby certify that my professional liability insurance is still valid and has not undergone any material changes since the last update of the register entry.

☐ My professional indemnity insurance has undergone material changes which affect the following clauses[5]:

…….....

☐ I don't have any professional indemnity insurance, but I have equivalent financial security/collateral according to Art. 33 FINSO[6].

3.3 Ombudsman's office

☐ I hereby confirm that there have been no changes about the ombudsman office and that my previous affiliation is still valid.

☐ I have joined another ombudsman office[7] .....

[4] **Attachment: Confirmation of participation** from the accredited organizer (incl. information on content and duration)
[5] **Attachment: New insurance policy** (incl. general conditions)
[6] **Attachment: Evidence** of equivalent financial security
[7] **Attachment**: Confirmation of the new ombudsman office regarding the affiliation

3.4. Personal warranty requirements / Client advisor declaration

☐ I hereby declare that there have been no changes in my criminal record since the last register entry and that:

a. that I have never been convicted under Articles 89-92 of the Financial Services Act[8] (FINSA) or Article 86 of the Insurance Supervision Act (ISA); and

b. that since the date of the extract from my criminal record I have not been convicted of any criminal offence against the property in accordance with Articles 137-172 of the Criminal Code[9] (SCC); and

c. that I am not prohibited from exercising the activity to be registered pursuant to article 33a FINMASA or from exercising my profession pursuant to article 33 FINMASA.

☐ I am unable to make the above declaration and submit a current excerpt of my criminal record (not older than three months)

Signature of the client advisor:

Place, Date: ..... Signature: .....

[8] It concerns the **offences**: Violation of the rules of conduct, violation of the regulations for prospectuses and basic information sheets, unauthorized offering of financial instruments.

[9] It concerns the **punishable acts against the property**, namely Illegal appropriation, embezzlement, theft, robbery, confiscation of property, unlawful use of property, unlawful deprivation of energy, unauthorized data acquisition, unauthorized intrusion into a data processing system, damage to property, damage to data, embezzlement and deprivation of pledged and retained property, Fraud, fraudulent misuse of a data processing system, check and credit card misuse, unlawful receipt of social security or welfare benefits, bilking, fraudulent obtaining of benefits, production and marketing of unauthorized decryption of coded offers, Malicious damage to property, false information about commercial trade, false information to commercial registry authorities, counterfeiting of goods, blackmail, usury, unfaithful business management, misuse of wage deductions, receiving stolen goods, violation of manufacturing or trade secrets, Fraudulent bankruptcy and seizure fraud, damage to creditors through reduction of assets, mismanagement, failure to keep accounts, preferential treatment of a creditor, bribery in execution, disposal of seized assets, fraudulent acquisition of a judicial probate contract.

4. Application for the renewal of entry in the register of advisers

The undersigned client advisor confirms that he/she has provided complete and truthful information and **hereby applies for the renewal of entry in the RegFix register of advisers**.

The entry in the register of consultants is subject to a fee. The amount of the fees is based on Art. 42 of the Financial Services Ordinance (FINSO) and Lit. B No. 1 of the Fees Regulations of the register of advisers RegFix.

The entry in the advisor register establishes an obligation of the client advisor to report to the registration body.

Notification and renewal duty according to Art. 41 FinSO

[1] The client advisors shall notify the registration body within 14 days:

a. the change of their name;

b. the change of name or address of the financial service provider for whom they work;

c. the change of their function and position in the organization;

d. the change of their fields of activity;

e. completed training and further education;

f. the change of the ombudsman's office;

g. the complete or partial termination of the professional indemnity insurance;

h. the termination of the activity as client advisor;

i. Convictions for criminal acts under the financial market laws pursuant to Article 1 of the Financial Market Supervision Act of 22 June 2007 (FINMASA) or for criminal acts against assets pursuant to Articles 137-172 of the Criminal Code;

j. an activity prohibition ordered against them in accordance with article 33a FINMASA or a professional prohibition in accordance with article 33 FINMASA;

k. with letters i and j comparable convictions or judgements of foreign authorities.

[2] You are required to renew your registration after 24 months at the latest. Otherwise, the entry in the register will be deleted.

Signature of the client advisor:

Place, Date: ..... Signature: .....

Index of attachments:

This index serves as a checklist for the required attachments and as an index of attachments. Please tick the submitted attachments.

- ☐ Signed and dated copy of passport or identity card of the client advisor or customer service representative.
- ☐ Copy of the employment or mandate contract or confirmation of the employer about the employment relationship.
- ☐ Copy of the commercial register extract concerning the financial service provider (a printout of the complete internet entry in PDF format is sufficient)
- ☐ Education and training regarding FINSA rules of conduct: Confirmation/certificate of participation from the accredited organizer (incl. information on content and duration)
- ☐ Professional indemnity insurance: confirmation of insurance by the insurer (certificate of insurance), or
- ☐ A copy of the insurance policy and the general terms and conditions of insurance with additional evidence of the current validity, or
- ☐ Evidence of equivalent financial security deposited.
- ☐ Confirmation of the ombudsman's office regarding the affiliation.
- ☐ Current extract from the criminal record in the original, not older than three months. (For persons residing in other countries: the equivalent foreign document).