

Requirements on continued professional education

Profile	AMLA	FinSA - code of conduct	FinIA	Professional and technical knowledge (specific area of activity)	Total duration per year
qualified managers	✓ (mandatory, emphasis depending on current events)	✓ (mandatory, emphasis depending on current events)	✓ (emphasis depending on current events)	✓ (as needed or depending on other, simultaneous function ¹)	minimally 1 day
compliance manager / risk manager	✓ (mandatory)	✓ (mandatory)	✓	✓ (as needed or depending on other, simultaneous function ¹)	minimally ½ day
other employees in the area of AMLA or in an area with client contact	✓ (mandatory only for employees in the area of AMLA)	✓		✓	minimally ½ day ²

¹ Per memoria: if the company has maximally five full-time employees or (according to FINMA: and) annual gross earnings of less than CHF 2 million and a business model without increased risks (art. 26 para. 2 FinIO).

² Internal advanced AMLA training possible if documented.