

2019.HS

Module Name: Wealth Mgmt. & Compliance	
Module Code	w.BA.XX.2WMC.XX
Module Description	Students acquire the necessary specialist and methodological knowledge to analyze client situations in wealth management, establish a client's requirements, and develop a solution. At the same time, they take into account the requirements of compliance. They are capable of communicating the solution in a manner appropriate to the listener and in terms of a case manager dealing and networking with specialists and other partners.
Program and Specialization	Business Administration - Banking and Finance
Legal Framework	Academic Regulations BSc dated 29.01.2009, Appendix to the Academic Regulations for the degree programs in Business Administration, Business Information Technology, and Business Law, first adopted on 12.05.2009
Module Category	Module Type: Compulsory
	Program Phase: Main Study Period
ECTS	6
Organizational Unit	W Institut für Wealth & Asset Management
Module Coordinator	Roland Hofmann (horo)
Deputy Module Coordinator	Hans Brunner (brnh)
Prerequisite Knowledge	Fundamental knowledge of finance, economics, and law
Contribution to Program Learning Goals (Affected by Module)	<ul style="list-style-type: none"> § Professional Competence § Methodological Competence § Social Competence § Self-Competence
Contribution to Program Learning Objectives	<ul style="list-style-type: none"> Professional Competence <ul style="list-style-type: none"> § Knowing and Understanding Content of Theoretical and Practical Relevance § Apply, Analyze, and Synthesize Content of Theoretical and Practical Relevance § Evaluate Content of Theoretical and Practical Relevance Methodological Competence <ul style="list-style-type: none"> § Problem-Solving & Critical Thinking § Scientific Methodology § Work Methods, Techniques, and Procedures § Information Literacy § Creativity & Innovation Social Competence <ul style="list-style-type: none"> § Written Communication § Oral Communication § Teamwork & Conflict Management § Intercultural Insight & Ability to Change Perspective Self-Competence <ul style="list-style-type: none"> § Self-Management & Self-Reflection § Ethical & Social Responsibility § Learning & Change
Module Learning Objectives	<p>Students...</p> <ul style="list-style-type: none"> § enumerate the key challenges in wealth management and compliance. § explain interdependencies and interactions relating to individual subject areas and related disciplines. § analyze specific client situations using methodological and procedural tools (advisory process). § compare client wishes, plans, and goals against the starting position and deduce what action is required. § develop a proposed solution for asset and liability structuring. § evaluate a suggested solution on the basis of specialist criteria. § differentiate between advisory skills and draw on network partners and specialists for the development of solutions. § present and elaborate on specialist knowledge and solution proposals in an appropriate way. § conduct exchanges with network partners and specialists. § keep their methodological and specialist knowledge constantly up to date. § reflect on their own situation.

Module Content	§ Analysis of wishes, requirements, and client goals § Analysis and control of income flows and asset and liability management (ALM), and integrating this into an overall concept § Carrying out client risk profiling and considering those outcomes in the development of solutions § Implementing asset and liability structuring and taking account of related disciplines (pensions, tax, succession, etc.) § Considering relevant legal conditions and compliance requirements in the development of solutions § Methodology and processes of client analysis and solution development (advisory process)		
Links to other modules	-		
Methods of Instruction	§ Lecture § Interactive Instruction § Application Tasks § Case Studies § Exercises § Literature Review § Presentation	Social Settings Used: § Individual Work § Pair Work § Group Work	
Digital Resources	§ Teaching Videos § Practice and Application Exercises (with Key) § Case Studies (with Key)		
Type of Instruction	Classroom Instruction	Guided Self-Study	Autonomous Self-Study
Large Class	28 h	-	
Small Class	28 h	72 h	
Group Instruction	-	-	
Practical Work	-	-	
Seminar	-	-	
Total	56 h	72 h	
Performance Assessment			
End-of-module exam	Form	Length (min.)	Weighting
Written exam	Closed book	60	67,00 %
Permitted Resources	Approved calculator according to "Guidelines on Supplementary Materials"	With dictionary	
Others	Assessment	Length (min.)	Weighting
Written assignment, including presentation	Grade	-	33,00 %
Classroom Attendance Requirement	-		
Language of Instruction/Examination	German		
Compulsory Reading	Höllerich, J., Marti, L., Thomas, S. & Ziegler, S. (2015). SML essentials - Wealth Management in der Schweiz. Zürich: vdf. ISBN 978-3-7281-3691-6.		
Recommended Reading	-		
Comments	-		