

Valid for 2023.FS

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 (target-performance comparison: need for action?), and develop appropriate solutions. They take into account regulatory and compliance requirements. They are capable of communicating a solution in a targeted manner and explaining it to the client, and of acting as a case manager in dealing and networking with specialists and other partners. They are also able to familiarize themselves with new or changed specialist topics and framework conditions (e.g., changes in legislation) in wealth management and gain an overview of a situation.
Program and Specialization	Business Administration - Specialization in Banking and Finance
Legal Framework	Academic Regulations BSc dated 29.01.2009, for the degree programs in Business Administration, International Management, Business Information Technology, Business Law, Business Law and Applied 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	Anita Sigg (sian)
Prerequisite Knowledge	Fundamental knowledge of banking, finance, business administration, economics, and law
Contribution to Program Learning Goals (Affected by Module)	§ Professional Competence § Methodological Competence § Social Competence § Self-Competence
Contribution to Program Learning Objectives	Professional Competence § 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 § Problem-Solving & Critical Thinking § Scientific Methodology § Work Methods, Techniques, and Procedures § Information Literacy § Creativity & Innovation Social Competence § Written Communication § Oral Communication § Teamwork & Conflict Management § Intercultural Insight & Ability to Change Perspective Self-Competence § Self-Management & Self-Reflection § Ethical & Social Responsibility § Learning & Change
Module Learning Objectives	Students... § list 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 with their financial and personal status quo and deduce what action is required. § develop and propose a solution to structure a client's assets. § evaluate a proposed solution based on wealth management criteria. § assess the limitations of their own advisory skills and draw on a network of partners and specialists to develop 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.

Module Content	§ Analysis of wishes, requirements, and client goals § Analysis and control of financial flows (revenue, expenses, savings quota, liquidity planning) and asset structures (assets, liabilities, ALM), and integrating them into an overall concept § Carrying out client risk profiling (risk capacity, risk propensity) and considering those findings in the development of solutions § Implementing integrated 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 § Taking account of methodology and processes of systematic client analysis and solution development (advisory process)		
Links to other modules	-		
Methods of Instruction	§ Lecture § Interactive Instruction § Application Tasks § Case Studies § Exercises § Problem-Oriented Teaching § Literature Review § Presentation	Social Settings Used: § Individual Work § Pair Work § Group Work	
Digital Resources	§ Reader § 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	Open book	60	67,00 %
Permitted Resources	Free choice of calculator	With dictionary	
	Others	Assessment	Length (min.)
	Written assignment, including presentation	Grade	-
			33,00 %
Classroom Attendance Requirement	Mandatory Attendance: Other Attendance at the presentation of the semester assignment is mandatory.		
Language of Instruction/Examination	German		
Compulsory Reading	-		
Recommended Reading	-		
Comments	-		