Valid from 2024.HS

Module description: Wealth Mgmt. & Compliance

Module Code	w.BA.XX.3WMC-FLEX.XX
ECTS Credits	6
Language of Instruction/Examination	German
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. Key aspects of personal finance help students to understand the client perspective. 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.
Organizational Unit	IWA Ltg.
Module Coordinator	Roland Hofmann
Deputy Module Coordinator	Anita Sigg
Program and Specialization	• Business Administration - Specialization in Banking and Finance (FLEX)
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
Prerequisite Knowledge	Fundamental knowledge of banking, finance, business administration, economics, and law.
Contribution to Program Learning Objectives (by the concerned 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

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Module Learning Objectives

Students...
- list the key challenges in wealth management and compliance.
- explain interdependencies and interfaces 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.
- network with partners and specialists.
- keep their methodological and specialist knowledge up to date.

Module Content

- Analysis of client wishes, requirements, and 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

This module is linked to the following modules:

Digital Learning Resources

- Reader
- Teaching Videos
- Practice and Application Exercises (with Key)
- Case Studies (with Key)

Methods of Instruction

- Literature Review
- Exercises
- Lecture
- Interactive Instruction
- Case Studies
- Problem-Oriented Teaching
- Application Tasks
- Presentation

Social Settings Used:
- Group Work
- Individual Work
- Pair Work

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**	**52 h**

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Performance Assessment

End-of-module exam	Form	Length (min.)	Weighting
Written exam	open book	60	67.00
Permitted Resources	Free choice calculator	With dictionary	

Others	Assessment	Format	Length (min.)	Weighting
Written assignment, including presentation	Grade	Gruppenarbeit	0	33.00

Classroom Attendance Requirement

Other

Attendance at the presentation of the semester assignment is mandatory.

Compulsory Reading

Recommended Reading

Comments