Zurich University of Applied Sciences

School of Management and Law

Valid for 2023.HS

Module Name: Wealth Mgmt. & Compliance	
Module Code	w.BA.XX.2WMC-en.XX
Module Description	Students acquire the necessary technical and methodological knowledge to analyze customer situations in wealth management, identify needs, and develop solution proposals (target-performance comparison: need for action?). In doing so, they take into account regulatory/compliance requirements. They are able to communicate and explain the solution to the client in a way that is appropriate for the target group and to exchange information and network with specialists and network partners from the perspective of a case manager. You will be able to familiarize yourself with new or changed specialist topics and framework conditions (e.g., changes in legislation) in wealth management and gain an overview of the topic.
Program and Specialization	Business Administration - Specialization in Banking and Finance (PiE)
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	Christoph Künzle (kunh)
Prerequisite Knowledge	Basic knowledge of banking, finance, economics, business administration, 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... § 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 wealth 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 up to date.

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 wealth structuring and taking account of related disciplines (pensions, tax, succession, etc.) § Considering relevant legal conditions and compliance requirements in the development of solutions § Considering 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 § Problem-Oriented Teaching § Literature Review § Presentations	**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**	**52 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.)**	**Weighting**
Written assigment, including presentation	Grade	-	33.00 %

Classroom Attendance Requirement	Mandatory Attendance: Other Compulsory attendance at the presentation of the term paper.
Language of Instruction/Examination	English
Compulsory Reading	-
Recommended Reading	-
Comments	-