Name of university, Name of faculty: Trnava University
Faculty of Law

INFORMATION SHEET OF THE SUBJECT

Code: YNKVm667	**Name:** Investment Academy Pro I

Cover: Institute of Clinical Legal Education

Type of educational activity: Lecture, Practise **Scope of educational activity (in hours):** **Weekly:** 0/1 **For term of study:** ZS 23/,12 **Method of educational activity:** Combined	**Number of credits:** 3	**Recommended semester:** WT **Study grade:** Master

Recommended semester	Study programme
1.year WT	Law (YDŠMgr-PR)

Underlie subjects:

Conditions for passing the course:
Method of evaluation: Completion by a continuing assessment
Continuous evaluation: The course will be completed through continuous assessment. Assessment will involve partial assignments based on the thematic content of each module (completing tasks, gathering information, activities, etc.) and the preparation of a final project.
Final evaluation: Completion by a continuing assessment
Finished: By continuous evaluation.

Learning outcomes:
The course Investment Academy Pro (I) is designed as a practical and interdisciplinary guide to the world of investments, wealth management, and the legal frameworks that support these processes.
Its goal is to enrich traditional legal education by expanding students' understanding of broader contexts - especially in situations where decisions carry not only technical, but also ethical, relational, and long-term implications. Graduates of the course will learn to see their future legal role not as the sole authority, but as a key team player alongside other professionals (financial advisors, bankers, investors, consultants, brand managers, etc.) who together craft sustainable solutions for clients, their families, and their businesses.
Students will explore topics such as family wealth management, private equity, venture capital, family offices, private banking, succession planning, real estate development, and legal structures like trusts, foundations, or holding companies. They will also engage with broader concepts such as trust, strategy, long-term thinking, and interdisciplinary collaboration.
Upon completing the course, students will not only deepen their legal and financial expertise but also develop a mindset grounded in respect for other professions, a value-based approach to client relationships, and the ability to connect legal principles with real-world dynamics.

Schedule of subject:
1. Introduction and the Interdisciplinary Framework of Wealth Management
The Role of a Lawyer in the World of Investments and Wealth
→ How lawyers can influence investment decisions; wealth management as a team-based discipline.
2. Introduction and the Interdisciplinary Framework of Wealth Management
Financial Advisory and Strategy
→ Why it is essential for lawyers to understand investment concepts and the client's long-term strategy.
3. Regulatory and Legal Foundations of Investments
Financial Regulation and Licensing of Entities
→ Overview of relevant legislation: NBS, MiFID II, AML, KYC – application and practical implications.
4. Regulatory and Legal Foundations of Investments
Legal Responsibility of Advisors and Investor Protection
→ Fiduciary duties, conflicts of interest, documentation, and sanctions.
5. Family Business Strategy and Governance
Family Businesses: Identity, Values, Relationships, and Long-Term Vision
→ Family constitution, values, mission, multi-generational perspective.
6. Family Business Strategy and Governance
Legal and Organizational Structures of Family Businesses
→ Governance bodies, control mechanisms, statutes, and contractual solutions.
7. Asset-Holding Structures
Types of Asset Structures and Their Practical Use
→ Overview of options (e.g., holdings, trusts, foundations, funds), their purposes (asset protection, privacy, succession planning), advantages and risks, selecting appropriate structures based on client needs.
8. Asset-Holding Structures
Trusts, Foundations, and Investment Funds
→ Comparison of trusts and foundations, relevant jurisdictions, management models, fund creation (e.g., mutual funds, SICAV), regulatory and tax aspects, practical examples.
9. Family Offices: Models and Wealth Management Standards
Single vs. Multi Family Office: Benefits and Trade-offs
→ When it's worthwhile to set up a Family Office, what services it includes.
10. Family Offices: Management of Family Offices
→ People, Processes, Rules, and External Partners.
11. Private Banking and Client Service
Private Banking Products and Their Legal Frameworks

→ Mandate agreements, discretionary portfolios, specifics for HNWI and UHNWI clients.
12. Private Banking and Client Service
Approach, Trust and Loyalty
→ Soft factors, relationship building, management of sensitive data.

Recommended reading:
Basic recommended literature:
To be specified in the Moodle system.

The course will be primarily practice-oriented.
Relevant Legislation and Legal Framework of the Course:
Within the course, students will be introduced to key legal regulations that form the framework for investments, financial intermediation, wealth management, and legal structures in the Slovak Republic and selected foreign jurisdictions.

Slovak Legislation:
- Act No. 566/2001 Coll. on Securities and Investment Services
- Act No. 186/2009 Coll. on Financial Intermediation and Financial Advisory Services
- Act No. 203/2011 Coll. on Collective Investment
- Act No. 297/2008 Coll. on the Prevention of Legalization of Proceeds from Criminal Activity (Anti-Money Laundering Act)
- Civil Code and Commercial Code (e.g., contractual relations, company formation, trust structures abroad)
- Act No. 595/2003 Coll. on Income Tax (with regard to tax aspects of investment structures and succession planning)
- Act No. 40/1964 Coll. Civil Code (e.g., inheritance, donation, prenuptial agreements)

Selected European and International Frameworks:
- MiFID II – Markets in Financial Instruments Directive
- AIFMD – Alternative Investment Fund Managers Directive
- FATF Recommendations (AML/CFT standards)
- Legal frameworks for trusts and foundations in relevant jurisdictions (e.g., Liechtenstein, Switzerland, Luxembourg, etc.)
- Family Office structures and establishment models in relevant jurisdictions

Study materials will be provided by the instructors in the Moodle system.

Language requirements: Slovak

Notes:
Student‘s workload: 75 hours
Combined study (P, C, K): 12 hours
Study of sent materials and materials in Moodle (self-study): 63 hours

The course will take place every two weeks as a two-hour class.

Course evaluation:
Assessed students in total: 0

A	B	C	D	E	FX
0%	0%	0%	0%	0%	0%

Lecturers:
Mgr. Michal Babjak, examiner, instructor

Date of last change: 01.09.2026

Approved by: prof. PhDr. JUDr. Tomáš Gábriš, PhD., LLM., MA