CISI
CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

Benefits to firms

- ✓ Learning and tests can form part of a business T&C programme
- ✓ Learning and tests kept up to date and accurate by the CISI
- ✓ Relevant and useful - devised by financial services practitioners
- ✓ Access to individual results available as part of management overview facility, 'Super User'
- ✓ Records of staff training can be produced for internal use and external audits
- ✓ Cost effective – no additional charge for CISI members

Benefits to individuals

- ✓ Comprehensive selection of topics across financial services sectors
- ✓ Modules are frequently reviewed and updated by financial services experts
- ✓ New topics introduced regularly
- ✓ Free for members
- ✓ Successfully passed modules are recorded in your CPD log as Active learning
- ✓ On completion of a module, a certificate can be printed out for your own records

11/2019

To view the full list of modules visit **cisi.org/pr**

If you or your firm would like to find out more about Professional Refresher, contact the Client Relationship Management team

✉ **crm@cisi.org**

CISI
CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

Our Professional Refresher series

Online Learning

Cutting edge analysis and insight for financial services professionals

25,000+ users in 2018-19

over **1,000,000** total views

150+ unique modules

cisi.org/pr

Refresh your knowledge

Meet regulatory and firm requirements

Earn CPD hours

Operations

Best Execution

Best execution refers to the duty of an investment services firm, such as a stockbroker, executing orders on behalf of customers to ensure the best execution possible for their customers' orders. This module examines what best execution is, the rules and instructions, how to achieve it, how it is monitored, order execution policies, information to clients and client consent.

Other topics include

Client Assets and Client Money	Corporate Actions	Central Clearing
	Transaction Reporting	

Compliance/Risk

Anti-Money Laundering

With the ever-increasing scale of the money laundering problem, it is not surprising that tackling the issue is high on the international agenda. This module examines anti-money laundering legislation and regulation, the role of the money laundering reporting officer, how to report money laundering and the sanctions and penalties that can be imposed.

Other topics include

Market Abuse	Human Trafficking and Modern Slavery Act
Financial Crime	

Integrity and Ethics

Integrity and Ethics

Ethics is about living a 'good' or 'valuable' life. Integrity means, essentially, wholeness or oneness and is often used interchangeably with ethics. This module provides an understanding of ethical behaviour, ethics in finance, the importance of trust and trustworthiness, and an analysis of compliance versus ethics.

Other topics include

Conflicts of Interest	General Data Protection Regulation (GDPR)	Ethical Sustainable Investment
Speak Up		Corporate Governance

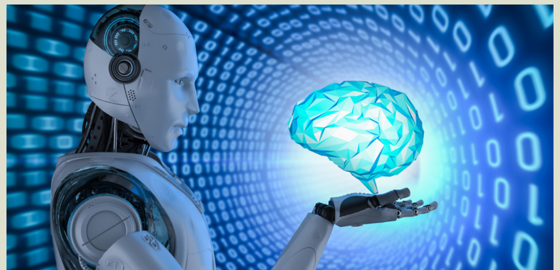
Financial Planning

Vulnerable Clients

Vulnerable customers may be significantly less able to represent their own interests, and more likely to suffer harm than the average consumer. This module considers how vulnerable clients and financial planners interact in a way that demonstrates the best interest for the client.

Other topics include

Treating Customers Fairly	Investment Principles and Risk	Investment Planning
Suitability of Client Investments		Financial Planning
	Business Protection	Business Protection



FinTech

Artificial Intelligence

The hopes and fears sparked by artificial intelligence (AI) have raised it to an almost mythical status. Some foresee the apocalyptic emergence of hostile robotic consciousness, while others dream of a tailor-made world. This module gives an insight into AI and provides a deeper understanding of how it is and will be used.

Other topics include

Blockchains	FinTech	Investment Business on the Internet
Cryptocurrencies	Information Security and Data Protection	
Cybercrime		Regtech

Wealth Management

Robo-Advice

The term 'robo-advice' generally refers to the development of web-based systems which provide investment advice or portfolio management to clients without the (direct) involvement of a human adviser. This module provides an understanding of robo-advice, the definition of advice, and the implications of giving it.

Other topics include

ESG Investing	Crowdfunding	Islamic Banking
Hedge Funds	Client Categories	Sovereign Wealth Funds
Exchange Traded Funds		

Corporate Finance

Foreign Exchange

The foreign exchange market is where all the world's currencies trade. It is both the largest and most liquid market, with an average daily trading volume exceeding $5 trillion. This module provides an overview of the foreign exchange market, including some of the principal concepts and terminology used.

Other topics include

Securities Financing	Fund Managers Directive
Alternative Investment	Common Reporting Standard

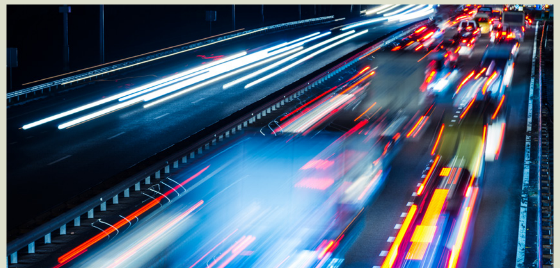
Soft Skills

Mindfulness

Today, it is all too easy to allow the more challenging aspects of professional and personal lives to dominate our thinking. A few bad experiences can lead to believe that a negative pattern is starting to form. Mindfulness helps to bring a focus and attention into the here and now and seeks to break cycles of negativity.

Other topics include

Behavioural Finance	Introduction to Financial Services	Presentation Skills
Change Management		Non-Executive Directors' Roles
	Influencing Teams	



International Regulations

ESMA Knowledge and Competence Guidelines

ESMA has contributed significantly to the implementation of MiFID II by issuing Guidelines. These Guidelines are expected to promote greater convergence in the knowledge and competence of staff. This module will focus on the key elements of the Guidelines, with explanation, interpretation and case studies.

Other topics include

MiFID II	Sanctions and Global Markets	Dodd-Frank Act
Foreign Account Tax Compliance Act		European Market Infrastructure Regulation (EMIR)
	Cross-Border Investment Services	

Investment Products

Bonds Essentials

A bond is issued by a government or a company and is a way for them to raise capital. Investors effectively lend them money and receive interest in return. This module introduces you to the world of bonds and helps you to familiarise yourself with the main types of bond and key terminology.

Other topics include

Commodities and Energy Markets	Derivatives	Structured Investment Products
	Shares Essentials	

"The CPD elearning platform has very relevant topics that respond our current business needs. We like the fact that the elearning modules provide an external sector wide approach to our staff and complements our internal training"

Paul Njoki, Head of Wealth Management,
Standard Chartered Bank Kenya

"With a comprehensive selection of topics across financial services sectors, the CISI's Professional Refresher tool is an excellent way to refresh your knowledge."

Ernest Yeung Chartered FCSI
Managing Director, Wealth and Asset Management, China,
Manulife Investment Management

"Professional Refresher modules are masterfully designed allowing our firm to keep up to date with the latest developments in Financial Services."

Iain McMeechan Chartered FCSI
Vice President -Training & Competence Manager, Barclays Wealth Management

Some modules are also available in Arabic and Spanish