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Diploma in Investment Compliance

What is the Diploma in Investment Compliance?

The Diploma in Investment Compliance is a global qualification that offers a clear career pathway for compliance specialists and practitioners.

This qualification provides candidates with the confidence of possessing a thorough understanding of the financial services regulatory environment both in the UK and internationally.

The Diploma award is achieved by successfully passing three units:

- Level 4 UK Regulation and Professional Integrity
- Global Financial Compliance; or
Combating Financial Crime ; or
Risk in Financial Services
- Regulation and Compliance

Who should study for the Diploma in Investment Compliance?

The Diploma in Investment Compliance is a valuable qualification for any individual wishing to pursue a career in compliance and, in particular, those employed at a supervisory level aspiring to a senior management role. It is suitable for those working in both wholesale and retail.

Ofqual approval

The Diploma in Investment Compliance is accredited by Ofqual as the CISI Level 6 Diploma in Investment Compliance. The Total Qualification Time for this qualification is 476 hours.

On the European Qualifications Framework, this equates to a level 6 qualification.

For further information visit [cisi.org/eqf](https://www.cisi.org/eqf)

Key features

- **Computer based tested** units available on demand and a narrative examination available twice a year allows you to complete the Diploma at a pace that suits you
- Exams available online via **remote invigilation** or at one of our **global test centres**
- **Career pathway** for compliance specialists and practitioners
- **Comprehensive coverage** of regulatory, specialist and advanced aspects of compliance
- **Options suitable** for both compliance generalists and Nominated Officers, Money Laundering Reporting Officers and Client Due Diligence Executives
- **Globally-recognised** qualification
- **MCSI designatory letters**

How is the qualification structured?

The Diploma award has a mandatory prerequisite entry unit:

- Introduction to Securities & Investment (or International Introduction to Securities & Investment)

The Diploma award is achieved by successfully passing three units:

- Level 4 UK Regulation and Professional Integrity*
- Global Financial Compliance *or* Combating Financial Crime *or* Risk in Financial Services
- Regulation and Compliance

There are transitional arrangements for candidates already studying for the Diploma in Investment Compliance. For more details visit [cisi.org/dipic](https://www.cisi.org/dipic)

*International candidates may substitute a local regulatory paper for Level 4 Financial Regulation and Professional Integrity. If no local regulatory paper exists, international candidates may substitute Global Financial Compliance for one of the units, and must also pass either Combating Financial Crime or Risk in Financial Services.

Studying for the Diploma in Investment Compliance

On average, 80 hours is required for each unit.

You can choose to self-study for the exams using CISI learning manuals and accompanying elearning or have formal training with one of our Accredited Training Partners (ATP). To find an ATP near you visit, [cisi.org/atp](https://www.cisi.org/atp)

The CISI's learning manual policy requires, where available, the most up-to-date CISI learning manual to be purchased when booking an exam, including by an ATP on your behalf. This applies to all candidates sitting CISI exams in the UK (includes Northern Ireland, Guernsey, Jersey and Isle of Man). Candidates sitting CISI exams outside of the UK will receive the most up-to-date learning manual for that subject in PDF format and this is included in the international exam price.

Candidates who are not currently CISI members receive one year's free CISI student membership and enjoy access to an extensive range of professional benefits. Visit [cisi.org/membership](https://www.cisi.org/membership)

Assessment

Four units within the programme are two-hour exams comprising:

- Level 4 UK Regulation and Professional Integrity - 80 multiple choice questions, pass mark 70%
- Level 3 Global Financial Compliance and Risk in Financial Services - 100 multiple choice questions, pass mark 70%
- Level 3 Combating Financial Crime - 50 multiple choice questions, pass mark 70%

Regulation and Compliance is a three hour and 15 minute written paper. The pass mark is variable but never below 50%

Our narrative exams are available at certain times of the year and most are available via remote invigilation or at our test centres. Visit [cisi.org/examdates](https://www.cisi.org/examdates) to find out more.

Book your exam

Online – [cisi.org/dipic](https://www.cisi.org/dipic)
 By phone – +44 20 7645 0777
 Via email – customersupport@cisi.org

Don't forget to set your results preferences afterwards at [cisi.org/resultsdashboard](https://www.cisi.org/resultsdashboard)

Visit [cisi.org/prices](https://www.cisi.org/prices) for current prices

Next steps

CISI Membership

If you successfully complete the CISI Diploma in Investment Compliance you will be eligible for full membership of the CISI and you will be entitled to use the designatory letters, MCSI. You can ultimately strive to achieve personal chartered status, the pinnacle of CISI membership.

The extensive continuing professional development (CPD) opportunities available through the CISI's suite of membership benefits ensures financial services practitioners can maintain competence and meet the requirements of firms and the regulator. Visit [cisi.org/membership](https://www.cisi.org/membership)