



CHARTERED INSTITUTE FOR
SECURITIES & INVESTMENT

Awards Ceremony 2015

Recognising Excellence



The Chartered Institute for Securities & Investment
thanks the principal sponsor



RBC Wealth Management



Programme

- 6.15pm Seating
- 6.25pm Opening procession
- 6.30pm Welcome
The Right Honourable The Lord Mayor Alderman Alan Yarrow, Chartered FCSI(Hon)
- 6.35pm Presentation of awards
Clare Gore-Langton, Chartered FCSI(Hon), Chairman, CISI Educational Trust
- 6.40pm Overview of CISI qualifications during 2014
Clive Shelton, Chartered FCSI, Risk & Compliance Director, International Financial Data Services and Chairman, CISI Examinations Board
- Presentation of further awards
- 7.00pm Keynote address
The Right Honourable The Lord Mayor Alderman Alan Yarrow, Chartered FCSI(Hon)
- Presentation of further awards
- 7.25pm Closing remarks
Lydia Romero, Director of Learning, CISI
- 7.30pm Drinks reception

In this brochure, in addition to individuals receiving awards for outstanding exam success, we are pleased to list all those who have achieved: the Investment Operations Certificate, the industry-recognised benchmark qualification for operations; Investment Advice Diploma; Advanced Global Securities Operations; Private Client Investment Advice & Management; Diploma in Investment Compliance; CISI Diploma; Certificate in Corporate Finance; Diploma in Corporate Finance; and Chartered Wealth Manager Qualification.

Thank you to all the organisations which have sponsored prizes for this year's winners, supported candidates taking exams and contributed to the success of this event.



Biographies

The Right Honourable The Lord Mayor Alderman
Alan Yarrow, Chartered FCSI(Hon)

Chairman, CISI

Alan Yarrow was appointed Chairman of the CISI in September 2009. He left Dresdner Kleinwort in December 2009, after 37 years with the group, latterly as Group Vice Chairman and Chairman of the UK Bank. Alan holds other non-executive posts as a Director of Turquoise Global Holdings Ltd and of Fixnetix Ltd, Trustee of the Police Foundation, Senior Advisor to Kleinwort Benson Group, Vice President of the Royal Mencap Society, Alderman and Magistrate of the City of London and Almoner of Christ's Hospital.

Alan was formerly Sheriff of the City of London 2011-12, Deputy Chairman of the FSA Practitioner Panel, Chairman of LIBA (now AFME), Director of Complinet, member of the Takeover Panel, the Council of the British Bankers Association and the Chancellor of the Exchequer's High Level Stakeholder Group.

Clare Gore-Langton, Chartered FCSI(Hon)

Chairman, CISI Educational Trust

Clare Gore-Langton is an investment director, with over 25 years of experience of working with private client investment portfolios, including trusts, charities and pension funds.

She is a Chartered Honorary Fellow of the CISI, of which she was a director from 1992 until 2010. She is now Chairman of the CISI Educational Trust and is a member of the CISI Investment Committee.

Clare is a trustee of the Laurence Keen Pension Fund and sits on the MS Society Investment Committee. She is also a trustee of Calvert Trust, Exmoor.



Biographies

Clive Shelton, Chartered FCSI

Risk & Compliance Director, International Financial Data Services and
Chairman, CISI Examinations Board

Clive Shelton is a director of International Financial Data Services Ltd (IFDS). He is Deputy Chairman and a non-executive director of the Tax Incentivised Savings Association (TISA). He has served on a number of industry bodies, working groups and committees. Clive recently became Chairman of the CISI Examination Board and has co-authored various books published by the Institute. He is also a non-executive director of Unicorn Training Group, a provider of learning management systems and content and a member of the Investment Management Association's Education & Training Committee.

After 14 years at the Bank of England Clive joined the M&G Group in 1987, becoming Chief Registrar in 1992 and, following the acquisition of M&G by the Prudential PLC, an associate director in 2000 and Director of Compliance, responsible for retail operations and third party administration, in 2001. He joined IFDS in February 2003, where he is responsible for overseeing compliance, risk management, business continuity planning and financial crime prevention across their European and Asian operations.

Lydia Romero

Director of Learning, CISI

Lydia Romero has been in the education management industry for over ten years, primarily at the University of Cambridge, where she led on a number of executive education projects, working jointly with academic departments and professional bodies to establish practitioner-relevant programmes for an international audience, including investment professionals and Chinese senior civil servants.

Prior to entering the education sector, Lydia worked in a number of senior roles in industry, most notably at Virgin Atlantic and Time Warner. Her experience in industry has given her a keen understanding of the needs of business and this, in conjunction with her experience in academia, has extended to a passion for professional development, with a particular focus on the finance industry.

Her role at the CISI includes leading, developing and delivering the Institute's products and services in the areas of qualifications, membership & policy, CPD & networking and learning resources. She will also take on the role of the CISI's Responsible Officer for Ofqual and Accredited Officer for the FCA.



The Chartered Institute for Securities & Investment

“ To set standards of professional excellence and integrity for the securities and investment industry, providing qualifications and promoting the highest level of competence to our members, other individuals and firms. ”

The Institute is committed to raising the standards of integrity within financial services and is proud to be the leading examining, membership and awarding body for the securities and investment industry.

The CISI currently has over 40,000 members, who benefit from a programme of professional and social events, with continuing professional development (CPD) and the promotion of integrity very much at the heart of everything the Institute does.

With an ever-increasing regulatory focus on both individuals' and firms' commitment to integrity, competence and compliance, the Institute assists companies, as well as practitioners, to demonstrate commitment to CPD, professionalism and the promotion of trust.

The core values of the Institute are to:

- ✓ set standards of integrity and competence for those working in the financial services industry – ultimately, these standards are for the benefit of investors;
- ✓ be the centre of excellence for the design, maintenance and delivery of appropriate qualifications, of the highest calibre, relevance and quality, both in the UK and abroad;
- ✓ provide members' forums to highlight, share and influence changes in the financial services industry;
- ✓ recognise and promote the importance of CPD

The Institute is approved as an awarding body by Ofqual, the Office of Qualifications and Examinations Regulation. Its qualifications feature prominently on the Financial Conduct Authority (FCA) qualifications tables. Other regulatory bodies throughout the world either mandate or formally recognise and endorse CISI qualifications for use in the financial services industry.

The Institute's qualifications attract over 37,000 exam entries each year, delivered in more than 74 countries. It continues to develop its qualifications to meet the demands of the changing financial services industry.

Increasingly the CISI is involved in pre-employment work. Recently the Department for Education (DfE) confirmed that the CISI's A-Level and GCSE-equivalent qualifications will be included in the national performance tables from 2016. This will encourage UK schools and colleges to begin teaching their students these qualifications from September 2014. The CISI promotes apprenticeships in Providing Financial Services, offering technical units as well as working closely with universities to embed industry-relevant qualifications into undergraduate and postgraduate programmes.

The awards ceremony, now in its 22nd year, celebrates the achievements of the CISI's exam candidates. Top performers worldwide are recognised for their achievements.



Membership

The CISI is the leading professional body for those who work in securities and investment, with a network of members taking exams in over 74 different countries, bringing together thousands of practitioners from all parts of the diverse and complex financial services industry. All members must adhere to both the letter and the spirit of the Institute's Code of Conduct and its Principles and pass an Integrity test demonstrating their commitment to the importance of integrity and ethics in the financial services industry.

Membership of the CISI is the hallmark of professionalism, signifying the highest standards of knowledge, skills and ethical behaviour. Being a member of the CISI evidences an individual's competence and professionalism to employers, colleagues and clients.

Membership of the CISI has become increasingly relevant, especially to those affected by the Retail Distribution Review (RDR). The CISI, as the second largest FCA-accredited body, issues over 6,000 Statements of Professional Standing (SPSs) to those members working in the retail sector who meet the CPD requirements. From January 2015, the CISI will also issue SPSs to members in the Isle of Man, which is regulated by the Financial Supervision Commission (FSC). Our extensive offering and automatic logging of CPD enables our members to demonstrate to their employers and the regulators that they are maintaining competence.

On registration, all new exam candidates automatically obtain Student membership of the CISI, at no extra cost, to assist them, from the outset of their studies, with their continuing learning. It also gives them access to the variety of free CPD opportunities which the CISI offers. Once candidates pass a benchmark qualification, such as the Investment Operations Certificate, they are eligible to progress to Associate (ACSI) membership. Full Membership (MCSI) of the CISI is achieved by attaining higher-level CISI, or other relevant professional, qualifications. MCSI status can also be achieved by those with very substantial expertise and seniority in the industry.

Opportunities are available for members to become personally chartered if they meet the criteria, which include a number of years' successfully logged CPD through the CISI scheme and a pass in the CISI IntegrityMatters online test. Members with the CISI Level 6 or 7 qualifications, such as the CISI Diploma and the Chartered Wealth Manager Qualification, can also, on completing the relevant logged CPD on the CISI scheme, achieve Chartered Fellowship (Chartered FCSI) of the CISI.

The CISI also offers a special Chartered Wealth Manager designation to members who meet a certain criteria, including attaining the Level 7 Chartered Wealth Manager Qualification.

Members are experienced and qualified in securities, derivatives, corporate finance, investment management, private wealth management and other related areas, such as risk, compliance, operations, Islamic finance and IT.



Scholarships and Prizes

Euroclear Prize in Memory of Andrew Winckler

Andrew Winckler had a long career in the financial services industry, both as a practitioner and in regulation as former Chief Executive of the Securities & Investment Board, the precursor to the FSA (now the FCA). Andrew was latterly a partner of Ernst & Young and chaired its regulatory practice in the UK. He was also a member of the board of Euroclear and a Commissioner of the Jersey Financial Services Commission, until he died at a tragically early age in 2007. In recognition of Andrew's contribution to financial services in the UK, and to preserve his memory, Euroclear generously agreed to sponsor this award for ten years. This is the eighth year of the award.



Hoare Nairne Scholarship

The CISI Educational Trust awards a bursary of £2,500 towards study costs to one UK resident a year. The Hoare Nairne Scholarship helps the successful candidate study towards the CISI Chartered Wealth Manager Qualification.

Philip Firmin, Chartered MCSI, of AJ Bell Securities was awarded the Hoare Nairne Scholarship in April 2014.

The CISI will shortly be accepting applications for 2015. To be considered for the scholarship, candidates must hold an appropriate benchmark qualification and submit a 1,500 word essay. Further information on the Hoare Nairne Scholarship can be obtained from mastersscholarship@cisi.org

In Honour and Memory of Pen Kent FCSI(Hon)

The CISI noted, with deep regret, the passing of Pen Kent, a long-standing Honorary Fellow, in December 2013. Pen spent his entire working life, from the early 1960s, at the Bank of England. His career was marked by a range of increasingly important posts within the Bank, prior to his appointment in 1988 as Associate Director, and in 1994 as Executive Director.

Pen Kent's main legacy to the membership of the CISI, and to the securities industry as a whole, is CREST, the system for equity settlement. Pen chaired and steered the project to successful implementation. When completed, CREST took much of the complication, risk and cost out of equity settlement. It also removed a barrier to capacity in the London Stock Exchange, making possible the increased trading volumes which followed. We owe much of this benefit to Pen's foresight and leadership. The highest achievement in the Investment Operations Certificate in 2014 is awarded in his honour and memory.



The CISI in Secondary and Higher Education

As part of its charitable objectives, the CISI is dedicated to promoting financial services as a career to young people and strives continuously to improve education standards within the finance sector. We partner with schools, colleges and universities to offer qualifications which help students understand the industry and prepare them for a career in financial services.

Diploma in Finance, Risk & Investment

The Diploma in Finance, Risk & Investment is specifically designed to be taught to 16-18 year olds in schools and colleges to develop their financial awareness and boost their CVs with an industry-recognised award. The Diploma consists of two underpinning certificates:

Certificate for Introduction to Securities & Investment

The Certificate for Introduction to Securities & Investment is designed to provide students in full-time education with an introduction to the financial services industry, with a focus on investments. Candidates combine the industry-recognised Introduction to Securities & Investment with an extended project of 3,000–4,000 words, selected from a range of titles. The qualification carries a UCAS tariff.

Certificate in Finance, Risk & Decision Making

The Certificate in Finance, Risk & Decision Making provides students with a broad understanding of macroeconomics, accounting, financial markets and investment decision making, as well as the importance of ethics in financial systems.

Certificate in Fundamentals of Business and Finance

The Certificate in Fundamentals of Business and Finance is specifically designed to be taught to 14-16 year olds in schools and colleges to develop their financial awareness and boost their CVs with an industry-recognised award. It provides an introduction to markets, the economy and risk.

Financial Education

Against the background of low financial literacy in the UK, the CISI has published a book entitled #yourmoney by Jeannette Lichner MCSI. This provides an introduction to the world of money for 16-25 year olds and gives simple, impartial advice on key financial topics, such as saving, budgeting, mortgages and credit cards. The Institute has donated over 250 copies of the book to its network of educational centres and has received positive feedback from students, teachers and parents.

In addition, the CISI has worked in collaboration with the UK's leading financial education charity, the Personal Finance Education Group (pfe), to produce A Practical Guide to Financial Education within Citizenship. This free resource is aimed at those responsible for delivering citizenship education to 11-16 year olds. September 2014 saw financial education appear in the national curriculum for the first time within mathematics and citizenship. This guidance provides suggested approaches and activities at key stages 3 and 4, taking into account the principles of citizenship and the links between personal and public finance.



The CISI in Secondary and Higher Education

CISI Educational Trust

The CISI Educational Trust was established with the purpose of broadening the scope of the Institute's scholarship awards, to include all CISI Centres of Excellence and other educational establishments, which have close links with the Institute. The Trust sponsors a number of scholarships for students of financial subjects within its accredited Centres of Excellence. In 2014, one student from each of the Institute's Centres of Excellence was awarded £2,500 in recognition of their achievements. The winners of the Educational Trust awards in 2014 were:

Pramit Makanji Aston University	Xinyu Yu University of Birmingham	Ziqi Hu Cass Business School
Cong Wang University of Edinburgh	Matthew Marshall Exeter University	Debbie Yee Teng Lim Glasgow Caledonian University
Cheuk Kwan Chan Imperial College London	Huy Hoang Pham University of Portsmouth	Laura Kleibl Queen Mary University of London
Han Gao ICMA, University of Reading	Mateusz Zielinski University of the West of England (UWE)	

The Trust also supports initiatives in schools and colleges. It employs a teaching and learning specialist and a peripatetic teacher, in order to support teachers who teach CISI qualifications. In addition, bursaries and awards are available to students. In 2014 the following students were awarded book tokens in recognition of their achievement in the Introduction to Securities & Investment unit:

Thomas Wyper Bruntcliffe School	Callum Border Chatham Grammar School for Boys	Lai Cheuk Man Epsom College	Alex Guzelkececyan Wellington College
Aimee Le Mercier Hautlieu School	Cameron Rule Ipswich School	Frederick Sullivan Kemnal Technology College	
Tim Huggins King Edward VI School	Jessica Davies Millfield School	Alan Murray Merchant Taylors' Boys' School	

The CISI and Apprenticeships

Apprenticeships are central to raising skills and employability in the UK. Following a recent review, it became apparent that the existing apprenticeship structure is not fit for purpose. The UK Government recently published its implementation plan for apprenticeship reform in England, and has set up a number of Trailblazer projects to design the new Apprenticeship Standards. The aim of these is to ensure that apprenticeships are more rigorous and responsive to the needs of more employers. The changes that will be implemented through the Trailblazers will fundamentally alter the relationship between employers, the Government and those who educate and train apprentices.

The CISI is proud to be working with a group of employers, led by JP Morgan, to develop three new apprenticeships in Investment Operations from Level 2 to Level 4. The new apprenticeship standards will include various CISI qualifications, including the Investment Operations Certificate and the new Managing Operational Risk in Financial Institutions qualification, and will be ready for launch in 2015.



Qualifications

The CISI has developed a wide-ranging programme of qualifications to meet the needs of individuals, firms, the industry and the regulatory authorities. They reflect the Institute's commitment to education in a competitive employment market.

Chartered Wealth Manager Qualification (formerly known as CISI Masters in Wealth Management)

The Chartered Wealth Management Qualification was developed in conjunction with leading industry practitioners and members of the Wealth Management Association (WMA), formerly known as APCIMS. The programme is the CISI's flagship qualification and lies at the very heart of the Institute's activities. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

CISI Diploma

One of the Institute's most well-known senior professional exam programmes, the Diploma proves mastery of particular aspects of the financial services industry. It leads to full Membership and, eventually, Chartered Fellowship of the Institute. The CISI Diploma is changing to meet the different career pathways in capital markets, wealth management, operations and compliance.

ICAEW/CISI Diploma in Corporate Finance

The Diploma in Corporate Finance is a qualification jointly developed and awarded by the Institute of Chartered Accountants in England and Wales (ICAEW) and the CISI. The syllabus was developed by corporate financiers to ensure it is work-related and transaction-oriented. It is recognised by the FCA as an appropriate exam for the activity of advising on investments in the course of corporate finance business. It assures a clear progressive pathway from the CISI Certificate in Corporate Finance and successful completion leads to full CISI Membership and ICAEW Corporate Finance designatory letters (CF).

Private Client Investment Advice & Management (PCIAM)

The Level 6 Certificate in Private Client Investment Advice & Management was designed to enable existing FCA-authorized practitioners to demonstrate their broad understanding of the principles of private client investment advice within the context of the current regulatory environment. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

Diploma in Investment Compliance (DIC)

The Diploma in Investment Compliance recognises the importance of professionals developing the knowledge of, and skills in, FCA regulation and compliance that are required to work in the securities and investment industry. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.

Diploma in Investment Operations (DIO)

The Diploma in Investment Operations is the most senior and challenging award for operations professionals. It builds on a range of Advanced Certificates and provides a progressive pathway for staff aspiring to senior roles within operations. It leads to full Membership and, eventually, Chartered Fellowship of the Institute.



Qualifications

Advanced Certificate in Operational Risk (AOR)

The Advanced Certificate in Operational Risk is a higher-level qualification aimed at individuals working in operations, risk and IT, who are seeking to develop their managerial, professional and technical skills as specialists in the financial services sector. It leads to Associate membership of the Institute.

Advanced Certificate in Global Securities Operations (AGSO)

The Advanced Certificate in Global Securities Operations is a higher-level qualification aimed at individuals working in operations and/or administration, who are seeking to develop their managerial, professional and technical skills as operations specialists in the financial services industry. It leads to Associate membership of the Institute.

Investment Advice Diploma (IAD)

The CISI's RDR-compliant Investment Advice Diploma was developed to provide employees advising on and/or dealing in securities or derivatives and employees advising on packaged products with the knowledge and skills required for their job roles. It has been approved by the FCA as an appropriate qualification for these activities, as well as the activity of managing investments. It leads to Associate membership of the Institute.

Certificate in Managing Operational Risk in Financial Institutions

The Level 4 Certificate in Managing Operational Risk in Financial Institutions is a higher-level pathway for risk professionals who may have achieved Operational Risk as part of the Investment Operations Certificate and for practitioners who are seeking to increase their knowledge in the discipline. It also offers a pathway to further higher-level CISI operational risk qualifications, including the Diploma in Investment Operations. It leads to Associate membership of the Institute.

Capital Markets Programme

This is a broad portfolio of units, regarded, prior to the RDR, as the regulatory exams across the industry. Certificates in Securities, Derivatives, Financial Derivatives and Investment Management are available. It leads to Associate membership of the Institute.

Certificate in Corporate Finance

The Certificate in Corporate Finance is an appropriate exam for the activity of advising on investments in the course of corporate finance business. It leads to Associate membership of the Institute.

Investment Operations Certificate (IOC)

The Investment Operations Certificate is the industry's leading benchmark qualification for administration, settlement and operations staff. It leads to Associate membership of the Institute.



Qualifications

Introduction to Investment – the Foundation Qualification

This qualification was specifically designed to meet the needs of new entrants to the industry and provides an overview of all areas of investment. The CISI worked in close collaboration with the Investment Management Association (IMA) to develop this stand-alone qualification, which offers staff in a wide range of roles a valuable understanding of the language of the industry and provides firms with a benchmark entry-level exam, which can be used for induction.

IT in Investment Operations (ITIO)

This qualification was developed for those staff working in financial services who wish to develop their knowledge and understanding of IT needs, specific to the financial services arena. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate.

Combating Financial Crime

Combating Financial Crime was developed by international specialists and tackles the financial crime agenda, takes a global view of transnational crime and illustrates practical defences, including the Bribery Act (2010). It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets Programme.

Global Financial Compliance

Global Financial Compliance was developed to provide candidates with a broad understanding of the compliance issues that arise within the financial services industry. The qualification is suitable for all compliance staff, particularly compliance officers. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets Programme.

Risk in Financial Services

This qualification was devised to offer staff employed within financial services a global introduction to the key risks that arise in the industry. It is a stand-alone qualification, as well as a unit within the Investment Operations Certificate and the Capital Markets Programme.

Fundamentals of Financial Services

Fundamentals of Financial Services is aimed at new and junior employees working in financial services, as well as school leavers who are considering a career in finance. It is an important first step in developing the essential basic knowledge required for working in financial services, covering commonly used financial products, concepts and terminology. It is available in English, Arabic and Spanish.

Islamic Finance Qualification (IFQ)

The Islamic Finance Qualification is an initiative of the Central Bank of Lebanon and is delivered in partnership with the École Supérieure des Affaires in Beirut. It is a ground-breaking qualification, which covers Sharia'a-compliant financial services in a practical way. This qualification is also available in Arabic. It leads to Associate membership of the Institute.



Qualifications

International Certificate in Investment Management (ICertIM)

The International Certificate in Investment Management is targeted at professionals engaged in managing investments overseas. It has been designed to provide a test of competence for individuals engaged in private client asset management (discretionary portfolio management) and fund management. It leads to Associate membership of the Institute. The final exams for this qualification were held in 2014.

International Certificate in Wealth Management (ICWM)

The International Certificate in Wealth Management was introduced as a quality benchmark for firms to ensure that their financial advisers understand the fundamentals of financial advice. It is a global qualification, designed to provide staff with access to a specialist exam that reflects the knowledge and skills base required to advise private clients in the retail sector of the industry. It leads to Associate membership of the Institute. The final exams for this qualification were held in 2014.

International Certificate in Wealth & Investment Management (ICWIM)

The International Certificate in Wealth & Investment Management has been designed to meet the needs of those firms who want to ensure that their staff can provide quality advice. The qualification builds on the former International Certificates in Wealth Management/Investment Management and covers the essentials of financial planning, private client asset management, fund management and advisory functions. It is an entry-level qualification for international candidates working in private banking and wealth management roles.

International Introduction to Investment

The International Introduction to Investment has been specifically designed to meet the needs of new entrants to the investment industry overseas. It gives an overview of all areas of investment and provides firms with a benchmark entry-level qualification, which can be used for induction purposes.

As well as being a stand-alone benchmark exam, it is also a technical unit within the Investment Operations Certificate. It is available in Arabic as well as English and will shortly be available in Spanish.

Global Securities

Global Securities is an international version of the Securities unit within the Capital Markets Programme. When combined with a local regulatory paper, candidates gain the Certificate in Global Securities. It is available in English and Arabic.



New Qualifications

International Certificate in Advanced Wealth Management (ICAWM)

The new Level 4 International Certificate in Advanced Wealth Management is a higher-level pathway for wealth management professionals who have achieved the Level 3 International Certificate in Wealth and Investment Management. It explores the wide range of assets and investment products available in the market at an advanced level and ensures that wealth managers and advisers know how to assess a client's current financial position, make suitable investment recommendations, and respond appropriately to changes in the client's circumstances and alterations in the market.

Diploma in Capital Markets

Developed to offer a higher-level pathway in the capital markets sector, this new Diploma offers practitioners in wholesale finance a graduate-level specialist qualification. It is relevant to those pursuing careers in banking and insurance, corporate finance and analysis, treasury and financial controlling functions, equity analysis and fixed-income analysis.

This progressive award is achieved by passing one multiple choice and two three-hour narrative units, comprising Level 3 Securities, Financial Markets and one of: Bonds and Fixed Interest Markets; Fund Management; Financial Derivatives; or Market Analysis (a new narrative unit, which will be available for examination from December 2015).

Investment Operations Certificate – New Units

Platforms, Wealth Management and Service Providers

This new unit of the Investment Operations Certificate is intended to provide professionals with the technical knowledge necessary to succeed in this fast-growing area. It has been designed for staff and management involved in the investor administration of operations/services offered by platforms, wealth managers and outsource service providers.

Pensions Administration

We are also currently developing a new unit in pensions administration, which will be available in 2015.

Please note that new qualifications must normally be running for at least a year before prizes are awarded to candidates at the awards ceremony.



Ensuring Quality and Relevance... Thank You

The CISI wishes to express its gratitude to the many individual practitioners who give their time and expertise in order to ensure that its qualifications continue to meet the needs of the industry. The relevance, quality and standards of the Institute's qualifications are scrutinised by the Examinations Board, which is supported by six qualification assessment boards, 38 syllabus panels and over 300 practitioners.

Each unit in every qualification has its own syllabus panel, comprising leading industry practitioners. These practitioners contribute as senior examiners and by writing examination questions. The qualifications remain valid and fit for purpose because of their efforts. We thank them all.

During 2014 the Examinations Board was chaired by Sir David Howard FCSI(Hon), who has now stepped down. The new Chairman is Clive Shelton, Chartered FCSI.

Examinations Board Members during 2014

Clive Shelton, Chartered FCSI (Chairman)	International Financial Data Services
Sir David Howard FCSI(Hon)	Charles Stanley & Co
Gavin Aspden	Institute of Chartered Accountants in England & Wales
John Barrass	Wealth Management Association
John Board	Henley Business School
Adrian Bell	Henley Business School
Andrew Carter, Chartered MCSI	Towry
Catherine Edwards	Association of Chartered & Certified Accountants
Kerrie Fleetwood ACSI	International Financial Data Services
Neal Franklin, Chartered FCSI	BNP Paribas
Lynne Hill, Chartered MCSI	Lynne Hill Consulting
Sandra Jacobs	Royal Bank of Scotland
Marcus Johnson, Chartered FCSI	NW Brown
David Kanolik MCSI	Investment Management Association
Peter Lee	Morgan Stanley
William Macdonald, Chartered MCSI	Craigcrook Management Services
Clare Minchington	Association of Chartered & Certified Accountants
Victoria Nye	Investment Management Association
Denis O'Connor FCSI	Association for Financial Markets in Europe
Shaun Robertson	Institute of Chartered Accountants in England & Wales
Kevin Rothwell, Chartered FCSI	Kevin Rothwell Consultancy & Training
Nicholas Swales, Chartered FCSI	Rathbone Investment Management
Graham Withers, Chartered FCSI	Rathbone Investment Management



Awards

Sponsored by

Foundation

Fundamentals of Financial Services

Alexander Bailey
Theisen Securities

Oliver Bosanquet
USS Investment Management

Ian Carrick
IFDS

Seo Hyung Kim

Jaswinderjeet Ram

Adam Schofield

Jeffrey Sinclair
UK Trade & Investment

Charles Thursby-Pelham
Schroders

Introduction to Investment - The Foundation Qualification

The Investment
Association

Lewis Barnes
Baillie Gifford

Christopher Caldwell
Fidelity Worldwide Investment

Kawdul Hussain Mohammad Irshard

Katarzyna Kmiecik
State Street

Nikhil Kulkarni
Capita Financial Group

Sachin More
State Street Syntel Services

Sarah Rawlings
Aviva

Introduction to Investment (Education) Overall Winners

SEVEN 
Investment Management

William Young
University of Ulster

Conor Campbell
University of Ulster

Certificate for Introduction to Securities & Investment (Schools) Overall Winner

Aimee Le Mercier
Hautlieu School

Certificate in Finance, Risk & Decision Making (Schools) Overall Winner

Dulmini Sathya Sri Dharmapala
The Lanka BPO Academy



Awards

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Euroclear Prize in Memory of Andrew Winckler

Diploma in Investment Compliance Overall Winner

Stuart Edwards MCSI
Winterflood Securities



Investment Operations Certificate

Administration of Settlement & Investments

Debbie Davies
Brewin Dolphin

Asset Servicing

Marc Turnbull

Collective Investment Schemes Administration

Ian Hubert ACSI
Royal Bank of Canada (Channel Islands)

Exchange-Traded Derivatives

Richard Simpson
Barclays

Global Securities Operations

Yida Zhang
Barclays



ISA Administration

Nirjhar Shrestha ACSI
Equiniti



IT in Investment Operations

Prasad Kavil Kambrath
UST Global



Awards

Sponsored by

Operational Risk

Tim De Abrew
BNP Paribas

Jefferson Banga ACSI
HSBC Electronic Data Processing (Philippines)

Mei Kim Heng
Schroders

OTC Derivatives

Adam Cuthbertson
BDO

In honour and memory of Pen Kent FCSI(Hon)

Investment Operations Certificate Overall Winners

Lewis Barnes
Baillie Gifford

Carla Hollinghurst
HSBC Trust Company

Katarzyna Kmieciak
State Street

UK Financial Regulation

Harry Seal
Barclays



Combating Financial Crime

Mike Harlock, Chartered MCSI
The Share Centre

Risk in Financial Services

Zaid Sardar
Raymond James

Lauren Underwood
Financial Conduct Authority



Awards

Sponsored by

Advanced Certificates

Advanced Certificate in Global Securities Operations

Gareth Hodson ACSI
EFG Harris Allday

Advanced Certificate in Operational Risk

Toby Grainger
UBS



Diploma in Investment Operations

Diploma in Investment Operations Overall Winner

Alan Belton MCSI
Brown Shipley

Capital Markets Programme

Commodity Derivatives

Francois Mercier
BNP Paribas

Financial Derivatives

Arrisje Van Heerdt
Morgan Stanley

Securities

Alberto Anzanello
BNP Paribas

Derivatives

Enrique Garcia
Royal Bank of Scotland

Capital Markets Programme Overall Winner

Enrique Garcia
Royal Bank of Scotland



Awards

Sponsored by

ICMA Centre

CISI Diploma

Bond & Fixed Interest Markets

Joseph Chapman MCSI
Jupiter Asset Management

Financial Derivatives

Christopher Page
Santander Global Banking & Markets

Fund Management

Robert Doyle MCSI
Saunderson House

Global Operations Management

Alan Belton MCSI
Brown Shipley

CISI Diploma Overall Winner

Camilla Cecil
Ruffer



Awards

Sponsored by

International Suite

International Introduction to Investment

Sujeev Kirubalanderam
Rak Bank

International Certificate in Investment Management

Ramez Merhi
Securities & Commodities Authority

International Certificate in Wealth Management

Muna Al-Zaben
First Gulf Bank

Ashwin Bhojwani
Abu Dhabi Commercial Bank



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Craig Warren MCSI
 HSBC Private Bank

Benjamin Washington MCSI
 HSBC Private Bank

Steven Watson

Dean Watton MCSI
 HSBC Bank (Middle East)

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 Royal Bank of Scotland

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 Adam & Company

Samantha White

Gerard Wilson MCSI
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 Rathbone Brothers

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Diploma in Investment Compliance

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 FXCM Securities

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Adebolu Akinlolu MCSI

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Members of the Chartered Institute for Securities & Investment (CISI) are required to meet the standards set out within the CISI's Principles. These Principles, which are also known as the Lord George Principles in recognition of the contribution made to standards of integrity by the late Lord George FSI(Hon), impose an obligation on members to act in a way beyond mere compliance and to support the underlying values of the Institute.

Material breach of the Code of Conduct would be incompatible with continuing membership of the CISI and may result in disciplinary action.

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1. discuss their concerns with their line manager
2. seek advice from their internal compliance department
3. approach their firm's non-executive directors or audit committee
4. if unable to resolve their concerns, and having exhausted all internal avenues, contact the Chartered Institute for Securities & Investment for advice (email: principles@cisi.org)

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4. To observe the standards of market integrity, good practice and conduct required or expected of participants in markets when engaging in any form of market dealings.
5. To be alert to and manage fairly and effectively and to the best of your ability any relevant conflict of interest.
6. To attain and actively manage a level of professional competence appropriate to your responsibilities, to commit to continuing learning to ensure the currency of your knowledge, skills and expertise and to promote the development of others.
7. To decline to act in any matter about which you are not competent unless you have access to such advice and assistance as will enable you to carry out the work in a professional manner.
8. To strive to uphold the highest personal and professional standards.



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For RBC WM to be associated with the Chartered Institute for Securities & Investment, an educational charity wholly focused on upholding the standards of professionalism, excellence and integrity within the securities and investment industry, is a proud moment for our history in London, which goes back over one hundred years, and partners well with our international focus on finance and higher education.

RBC WM was delighted to also sponsor two awards at this year's awards ceremony, held on 28 January at the Mansion House – International Certificate in Wealth Management and Certificate in Private Client Advice.

We take professional qualifications and education very seriously at our firm and respect the hard work and efforts of all CISI alumni. Recognising excellence in our business is a key foundation to deliver results for our clients and people.

Congratulations to all award winners.



RBC Wealth Management

There's Wealth in Our Approach.™

To set standards of professional excellence and integrity for the securities and investment industry, providing qualifications and promoting the highest level of competence to our members, other individuals and firms.

CISI Mission Statement

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