



In-House
CPD
Training
Courses

CISI 
CHARTERED INSTITUTE FOR
SECURITIES & INVESTMENT

Specialist CPD Training
Courses delivered at your
offices, tailored to meet the
learning & development
requirements of your staff
and your organisation



In-House CPD – Bespoke training solutions for your staff

At the CISI, we know how important professional development is, to ensure your colleagues possess the necessary skills they need for their daily job role and to meet their ongoing CPD and regulatory requirements.

Our professional development courses can be delivered in-house at your offices and tailored to meet your organisation's specific training requirements. Choose from a wide range of industry-recognised courses which cater for all levels and firm sizes.

Benefits of CISI's In-House CPD programme:

Experienced tutors who have in-depth knowledge on wealth management, risk, compliance, operations, ethics and soft skills

Develop the right skills, knowledge and expertise for your staff and enhance your firm's competitive advantage

Schedule courses around your firm's workday at a time convenient to you, minimize travelling time and save on travel costs

Choose from our existing training half-day or full-day courses or tailor the content specifically to your needs

Popular courses include:

Client Asset and Client Money (CASS)

Full-day (6 CPD hours)

The course provides delegates with an overview and understanding of the FCA regulations on client money and explores the rules within the Client Assets (CASS) Sourcebook and how it applies to the firm. The course has been specifically developed to support those engaged in the management of client money. Attendees will receive hands-on advice on how to manage client money and assets and the necessary steps to take in the event of a firm's failing. Discussion topics include:

Client Money

- Why is this important?
- The CASS firm
- What is client money?

- Segregation & paying in
- Trust & reconciliation
- Unclaimed money

Client Assets

- What are they?
- Registration
- Reconciliation

Resolution & Distributions

- The FCA's proposed changes

MiFID II and the New Regulatory Structure

Full-day (6 CPD hours)

This course will review the MiFID II timeline for implementation and highlight recent developments at the EU level. The aim of this course is to enable delegates to identify which elements of MiFID are subject to material change, describe which elements of the revised MiFID are likely to impact their own firms, the new regulatory structure and inter-relationships, and assess the adequacy of the firms organisational arrangements against the revised version. Discussion topics include:

The New Regulatory Structure

- Who are the new regulators?
- Financial Conduct Authority
- Financial Policy Committee
- Who will regulate the different types of firm?

MiFID and MiFIR

- What are MiFID's activities, services and exemptions?
- Client classification
- ECP an PC exemptions
- Risk disclosure

Market Structure and Transparency

- Automated trading, HFT and related issues
- Multilateral trading facilities
- Organised trading facilities and down capital

OTC Derivatives and Commodities

- Commodities
- Limits and liquidity
- Market trading of OTC derivatives

Advanced Leadership Skills for Investment Professionals

Full-day (6 CPD hours)

Too often, investment professionals have leadership thrust upon them because they have demonstrated technical proficiency and some threshold level of IQ. Yet, when Daniel Goleman, author of "Emotional Intelligence", studied what makes great leaders, he found that the ability to manage themselves and their relationships was over twice as important as high IQ and technical proficiency combined. Yet rarely are we taught emotional intelligence in the investment industry. This is an experiential course that equips participants with the emotional skills to lead themselves, their teams and their firms, successfully. Discussion topics include:

Communication Skills to Establish Rapport and Build Trust Rapidly

- Keep your power by assuming responsibility for your relationships
- How to override your brains conditioning judgements
- New practices that will set-up your relationships for success

Communication Practices for Successful Relationships

- How the brain works and how it (doesn't) run relationships
- How your brain's perspective can limit what is possible for you and your team.
- Creating empowering perspectives and perceptions.

Communication Maxims

- Communication creates a relationship which gives you the ability to lead
- How you run your relationships with fellow human beings will give you your performance and your life
- How you can choose to communicate with people creates your relationships

FATCA

Half-day (3 CPD hours)

This highly interactive half-day workshop will address key FATCA requirements and dispel dangerous FATCA myths. Attendees will gain a full understanding of the disclosure facilities negotiated with HMRC, covering offshore locations including Lichtenstein and the Channel Islands and obtain valuable insights into HMRC investigatory policies and protocols. Discussion topics include:

'No Safe Havens' – The regulatory and tax compliance impact

- The ongoing domestic and international tax transparency developments
- High profile tax evaders – case histories
- The New global tax transparency
- What is HMRC 'offshore tax strategy'?

Maintaining Legal Privilege

- The limitations of privilege for professional advisors
- Do's and don'ts of maintaining legal advice privilege
- Exceptions to legal advice privilege

FCA Regulatory Implications

- Suspicious activity reporting – when should you be reporting your clients?
- Developing appropriate systems and robust controls around tax compliance
- The roles of boards, compliance, risk, audit committees, and non-executives

Anti-Money Laundering (AML)

Full-day (6 CPD hours)

This interactive and well-regarded workshop is an essential primer for all those assuming responsibilities for AML issues. It takes a practical approach to tackling the key and expanding responsibilities of MLROs and NOs in the present, very difficult, economic and political climate.

The Current Legal & Regulatory Framework

- The law
 - Proceeds of Crime Act 2002
 - Counter Terrorism Act 2008
- Money Laundering Regulations 2007
- A practical explanation for the non-lawyer

The MLRO Role in Practice

- Recognising and establishing the role
- Setting standards
- Compliance monitoring

Financial Crime – the broader perspective

- Fraud
- Information security
- Market abuse & insider dealing

Implementing a Risk-Based Due Diligence Regime

- Achieving the optimum of ID&V, KYC and CDD
- Meeting the requirements of a "risk-based" approach
- A series of table top case studies to demonstrate the practical realities

Find out more: cisi.org/inhouse

Further training courses we offer include:

- ✓ Behavioural Economics
- ✓ Building a Client-focused professional service for the new world
- ✓ Conduct Risk
- ✓ Corporate Governance
- ✓ Essentials of Supervision
- ✓ Ethical Finance
- ✓ Hot Topics in Cybercrime
- ✓ Hot Topics in Operational Risk
- ✓ Introduction to Financial Markets
- ✓ Market Abuse Directive and the 4th Money Laundering Directive
- ✓ AML Obligations at Client Take-On
- ✓ Developing your Wealth Management Practice
- ✓ Introduction to Technical Analysis for Wealth Managers
- ✓ Preparing for Regulatory Visits
- ✓ Senior Management Responsibilities
- ✓ T&C Business Alignment/ People Risk
- ✓ Pension Reform 2014 and Beyond
- ✓ Suitability & Appropriateness
- ✓ The Use of Structured Products in Wealth Management
- ✓ Training and Competence Healthcheck and Review
- ✓ Understanding Regulation and Compliance

Full-day courses start from £2500 and half-day courses start from £1500

Contact us

To discuss your training requirements with us, please contact Alex Xavier

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