Top of your game

What are you doing to maintain your competence and meet your 10 hour CISI CPD requirement?
CPD Guidance for members working in Operations

From 1 April 2017, all CISI members are required to maintain and develop their knowledge by undertaking at least 10 hours CPD annually where a minimum of six hours is required to be Structured and one hour covered in Ethics.

To maintain and develop your knowledge and skills there needs to be an aspect of review and planning. We recommend that you use this guidance to ensure that you comply with the requirements by considering your development needs within these areas:

- Changes to legislation and regulation
- Skills and expertise
- Address gaps in your knowledge linked to your technical area of specialism

Recording of CPD
cisi.org/cpd

The CISI provides an online recording CPD tool, free to members, that can record and monitor your CPD progress. All CISI activities undertaken with the CISI are automatically recorded within your CPD record.

CISI Professional Refresher
cisi.org/cisipr

Professional Refresher is our online elearning tool that is free to members, which covers a variety of topic areas enabling you, upon reading the material, to test your knowledge.

Modules contain a workshop which may include video or links to further information. Members undertaking these modules need to undertake a test at the end of the module to successfully be awarded their CPD hours.

CISI TV
cisi.org/cisitv

CISI TV allows you to view a selection of our most popular CPD events online, anywhere, anytime and earn CPD hours. CISI TV is available to watch on your smartphone, tablet or PC.

A short quiz can be taken after watching a CISI TV video which allows you to earn an extra 15 minutes of CPD on top of the CPD for watching the video.
Integrity and Ethics Suite

cisi.org/integrity

The CISI has numerous resources to help you earn Integrity and Ethics CPD:

• IntegrityMatters elearning test
• Grey Matters dilemma (articles)
• Integrity at Work workshop
• Speak Up workshop
• Annual Integrity Debate (event)

Events

cisi.org/events

The CISI offers an extensive programme of CPD and networking events in London, regionally and internationally. These events keep you up to date with the latest insights and developments in the financial services sector, enable you to benchmark your processes with peers and network with members.

Qualifications

cisi.org/operations

The CISI offers a wide range of qualifications for individuals working in financial services. Individuals working in Operations are encouraged to follow the pathway set below as guidance to career development. All examinations undertaken can be counted towards your CPD requirement.
CISI guidance on online modules to maintain knowledge

The CISI offers a range of online learning opportunities to assist you in meeting your 10 hours CPD requirement and maintain your knowledge. These are broken down under the related subject matter. Members are encouraged to undertake at least one module in Ethics, Risk and Regulation annually.

Professional Refresher

**Ethics**
- Conflicts of Interest
- Integrity and Ethics
- Regulation and Ethics
- Speak Up

**Risk**
- Conduct Risk
- Information Securities and Data Protection
- Insolvency and Bankruptcy
- Investment Principles and Risk

**Regulation**
- Anti-Money Laundering
- Approved Persons Regime
- Banking Standards
- Certification - what it means to you
- Client Categories
- Conduct Rules
- Customer Complaints Procedure
- Cybercrime
- European Market Infrastructure Regulation
- Financial Crime
- Financial Ombudsman Service

**Areas of Specialism**

Members would only undertake these modules if they are relevant to their role or upcoming role in the financial services profession.

**Clearing and Settlement**
- Central Clearing
- European Market Infrastructure Regulation
- MiFID II

**Derivatives**
- Best Execution
- Commodities and Energy Markets
- Derivatives

**Islamic Banking**
- Islamic Banking

**Platforms and Service Providers**
- Exchange Traded Funds
- Price Stabilisation
- Regulation of Platforms

**Securities**
- Best Execution
- Client Assets and Client Money
- Securities Financing

**Soft skills**
- Influencing Teams
- Managing in the Regulatory Environment
- Presentation Skills

**Taxation**
- Budget
- Financial Transaction Tax
- Foreign Account Tax
- Compliance Act (FATCA)
- Investment Taxation
- Taxation

**Administration of Funds**
- Estate Planning
- Offshore Fund Administration
- Sovereign Wealth Funds
- Structured Wealth
- Trusts
- UCITS
- VCTs & ELIDs

**Asset Servicing**
- Corporate Actions
- Corporate Governance
- Non-Executive Directors’ Roles

**Financial Promotions**
- Human Trafficking and the Modern Slavery Act
- Market Abuse
- MiFID II Permissions Regime
- Senior Managers and Certification Regime
- T&C Supervision Essentials
- Training and Competence
- Treating Customers Fairly
- UK Bribery Act
- UK Regulatory Structure