



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
IntegrityMatters Suite
Regulation and Ethics
Speak Up

Risk

Conduct Risk
Information Securities and Data Protection
Insolvency and Bankruptcy
Investment principles and risk
Risk

Regulation

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

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

Areas of Specialism

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

Administration of Funds

Estate Planning
Offshore Fund Administration
Sovereign Wealth Funds
Structured Wealth
Trusts
UCITs
VCTs & EISS

Asset Servicing

Corporate Actions
Corporate Governance
Non-Executive Director Roles

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

Exchanges
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 (Spring 2017)
Financial Transaction Tax
Foreign Account Tax Compliance Act (FATCA)
Investment Taxation
Personal Taxation
Taxation