Top of your game

What are you doing as a retail investment adviser to maintain your competence and meet your 35 hour cpd requirement?
CPD Guidance for Retail Investment Advisers

In the UK, Retail Investment Advisers are required to maintain and develop their knowledge by undertaking at least 35 hours CPD annually where a minimum of 21 hours is required to be Structured.

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:

- Technical knowledge and how to apply it
- Skills and expertise
- Changes to products, legislation and regulation
- Address gaps in knowledge linked to the activities you have been covered to give advice in

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:

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

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/qualifications

The CISI offers a wide range of qualifications for individuals working in Wealth Management Sector. Individuals are encouraged to follow the pathway set below as guidance to the appropriate qualifications for Investment Advisers. Retail Investment Advisers in the UK are required to hold a minimum Level 4 relevant qualification to qualify them to give advice. All RDR-compliant qualifications in the UK meet the ESMA requirements for Investment Advisers. However below you can find guidance for qualifications for Investment Advisers in Europe and Overseas (non-UK). All examinations undertaken can be counted towards your CPD requirement.

Retail Investment Advisers (UK)
All RDR-compliant qualifications meet the ESMA requirements for Investment Advisers. CISI’s relevant qualifications include:

- Investment Advice Diploma (IAD)
- Private Client Investment Advice and Management (PCIAM)
- Chartered Wealth Manager qualification

Retail Investment Advisers (Europe, non-UK)
The below qualifications fully incorporate the ESMA Guidelines for Investment Advisers who work with retail clients:

- International Certificate in Wealth & Investment Management (ICWIM)
- International Certificate in Advanced Wealth Management (ICAWM)
CISI guidance on online modules to maintain knowledge

The CISI offers a range of online learning opportunities to assist you in meeting your 35 hours RDR CPD requirement and maintain your knowledge. These are broken down under the required learning areas which you can link to your area of specialism:

Professional Refresher

**Financial Services, regulation and ethics**
- Anti-Money Laundering
- Approved Persons Regime
- Client Categories
- Conduct Rules
- Conflicts of Interest
- Customer Complaints
- Cybercrime
- European Market Infrastructure Regulation
- Financial Crime
- Financial Ombudsman Service
- Financial Promotions
- Inducements and Dealing
- Commissions
- Integrity and Ethics
- Market Abuse
- RDR Adviser
- Regulation and Ethics
- Retail Investment Advice in the UK
- Speak Up
- Treating Customers Fairly
- UK Regulatory Structure

**Investment and Risk**
- Conduct Risk
- Financial Promotions
- Information Securities and Data Protection
- Insolvency and Bankruptcy
- Investment Principles and Risk
- Risk
- Permissions Regime
- Structured Investment Products
- Suitability of Client Investments

**Securities**
- Best Execution
- Client Assets and Client Money
- Dodd-Frank Act
- Securities Financing

**Derivatives**
- Best Execution
- Central Clearing
- Commodities and Energy Markets
- Derivatives
- Dodd-Frank Act
- Hedge Funds

**Private Client Advice**
- Long-term Care
- Pensions Advice
- Pensions and Provisions
- Retirement Planning
- Insurance

**Financial Planning andAdvice**
- Crowdfunding
- Estate Planning
- Financial Planning
- Offshore Fund Administration
- Robo-advice
- Structured Wealth
- Trusts
- UCITS
- VCTs & EISs

**Other**
- Certification - what it means for you
- Presentation Skills
- Remuneration Code
- Senior Managers and Certification Regime
- Sovereign Wealth Funds
- Training and Competence
- MiFID II