What is Global Financial Compliance?
A successful compliance function is a fundamental requirement for any effective business; in financial services it is a critical component.

The Global Financial Compliance qualification addresses techniques used to implement a successful compliance function in a firm. It provides a comprehensive introduction to all the issues a global Compliance Officer may encounter. It addresses international issues including the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.

Who should study Global Financial Compliance?
Suitable for all compliance staff and will be especially relevant to Compliance Officers.

Ofqual approval
Global Financial Compliance is regulated by Ofqual (on its Regulated Qualifications Framework) as the level 3 Award in Global Financial Compliance. On the European Qualifications Framework, this equates to a level 4 qualification. For further information visit cisi.org/eqf

The Total Qualification Time for this qualification is 102 hours. Global Financial Compliance, combined with a regulatory paper, is recognised by Ofqual as the level 3 Certificate in Global Financial Compliance. The Total Qualification Time for this qualification is 183 hours.

Visit cisi.org/ofqual

“I believe this qualification will go a long way in establishing Compliance as a distinct functional area within the financial sector. A recognition which is long overdue despite the accepted importance of the function.”

Waheed Rathore MCSI, Executive Vice President, Group Chief Compliance Officer & MLRO
Risk Management Group, Abu Dhabi Commercial Bank
How is the qualification structured?

Global Financial Compliance can be taken as a stand-alone award. It can also be taken with one of the following regulatory exams:

- UK Financial Regulation
- Local regulatory paper (for international candidates)

Upon successful completion of Global Financial Compliance and a regulatory paper, candidates will be awarded the Certificate in Global Financial Compliance. The Global Financial Compliance exam also qualifies as an IOC technical unit.

Syllabus

1. The International Regulatory Environment
2. The Compliance function
3. Managing the risk of financial crime
4. Ethics, Integrity and Fairness
5. Governance, Risk management and Compliance

To view the full syllabus visit cisi.org/gfc

Assessment

Global Financial Compliance: Two-hour paper consisting of 100 multiple-choice questions.
UK Financial Regulation: One-hour 30 minutes paper consisting of 75 multiple-choice questions

All exams can be taken at one of our Computer Based Testing (CBT) centres. Visit cisi.org/cbt to find your nearest venue.

Book your exam

Online – cisi.org/agso
By phone – +44 20 7645 0777
Via email – customersupport@cisi.org

Don’t forget to set your results preferences afterwards at cisi.org/resultsdashboard

Visit cisi.org/prices for current prices

Next steps

CISI Membership

Obtaining Global Financial Compliance entitles candidates to join the Institute at Associate level and utilise the designatory letters, ACSI. As a member of the Institute, you will enjoy the recognition of being a professional in a world of increasing competition.

The extensive continuing professional development (CPD) opportunities available through the CISI's suite of membership benefits ensures financial services practitioners can maintain competence and meet the requirements of firms and the regulator. Visit cisi.org/membership

Further CISI Qualifications

Investment Operations Certificate (IOC)

The Global Financial Compliance exam also forms part of the CISI’s globally recognised IOC. Once you have successfully passed the exam you can progress your studies by completing another two units to achieve the full IOC qualification. Visit cisi.org/ioc

Diploma in Investment Compliance

This qualification equips candidates with the knowledge and understanding of the financial services regulatory environment and the confidence to enforce regulatory compliance within their firm. Visit cisi.org/dipic