

# Level 4 Certificate in Investment Management



## What is the Level 4 Certificate in Investment Management?

The level 4 Certificate in Investment Management has been designed to provide candidates with an advanced level of understanding of the key areas of investment management and its underpinning disciplines of economics, mathematics and accountancy.

This higher level qualification requires candidates to demonstrate their knowledge and understanding in a range of analytical scenarios.

## Key features

- **Provides a deeper understanding** of the field of investment management and the regulatory framework
- **Suitable for a wide range** of staff involved in managing investments and no previous qualifications are required
- **Senior industry practitioners** closely involved in the development of the programme ensuring the exams are work related
- **Recognised by the FCA** as an appropriate qualification for Managing Investments (regulated activities 4 and 10)
- **Assesses candidate's ability** to analyse a range of asset classes and investment strategies
- **Free CISI Student membership** - become associated with a chartered professional body and take advantage of an extensive range of benefits
- **ACSI designatory letters**

## Who should study for the Level 4 Certificate in Investment Management?

The qualification is suitable for a wide range of practitioners involved in managing investments.

There are no formal entry requirements, however, industry experience will help candidates relate what they are learning to their role in the industry.

## Regulatory approval

The CISI is recognised as an Awarding Body by the UK Office of the Qualifications and Examinations Regulator. Many of the CISI's qualifications are mandated by different regulators around the world, so both individuals and firms can be confident that the CISI's processes, policies and systems meet rigorous quality assurance standards.

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SECURITIES & INVESTMENT

## How is the qualification structured?

The level 4 Certificate in Investment Management is achieved by successfully passing:

- UK Regulation & Professional Integrity
- Investment Management (level 4)

### UK Regulation & Professional Integrity

- UK financial services industry
- UK financial services & customer relationships
- UK contract and trust legislation
- Integrity & ethics in professional practices
- Regulatory infrastructure of UK financial services
- FCA & PRA supervisory objectives, principles and processes
- FCA & PRA authorisations for firms and individuals
- The regulatory framework relating to financial crime
- Complaints and compensation
- FCA Conduct of Business

### Investment Management (level 4)

- Economics
- Financial mathematics & statistics
- Industry regulation
- Asset classes & investment strategies
- Collective Investments
- Derivatives
- Other investments
- Financial Markets
- Accounting
- Investment Analysis
- Taxation
- Portfolio management
- Performance management

## Studying for the Level 4 Certificate in Investment Management

UK Regulation & Professional Integrity: 140 hours

Investment Management: 140 hours

You can choose to self-study for the exams using CISI learning manuals and elearning or have formal training with one of our Accredited Training Partners (ATP). To find an ATP near you visit, [cisi.org/atp](https://www.cisi.org/atp)

The CISI's learning manual policy requires, where available, the most up-to-date CISI learning manual to be purchased when booking an exam, including by an ATP on your behalf. This applies to all candidates sitting CISI exams in the UK (includes Northern Ireland, Guernsey, Jersey and Isle of Man). Candidates sitting CISI exams outside of the UK will receive the most up-to-date learning manual for that subject in PDF format and this is included in the international exam price. Candidates who are not currently CISI members receive one year's free CISI student membership and enjoy access to a number of benefits. Visit [cisi.org/membership](https://www.cisi.org/membership)

## Assessment

Each unit is completed by successfully passing a two hour multiple-choice question exam, both of which can be taken at one of our Computer Based Testing (CBT) centres. Visit [cisi.org/cbt](https://www.cisi.org/cbt) to find your nearest venue.

## Book your exam

Online – [cisi.org/certim](https://www.cisi.org/certim)

By phone – +44 20 7645 0777

Via email – [customersupport@cisi.org](mailto:customersupport@cisi.org)

Don't forget to set your results preferences afterwards at [cisi.org/resultsdashboard](https://www.cisi.org/resultsdashboard)

Visit [cisi.org/prices](https://www.cisi.org/prices) for current prices

## Next steps

### CISI Membership

If you successfully complete the level 4 Certificate in Investment Management you will be eligible for Associate membership of the CISI and you will be entitled to use the designatory letters, ACSi. You can ultimately strive to achieve personal chartered status, the pinnacle of CISI membership. Visit [cisi.org/membership](https://www.cisi.org/membership)

### Diploma in Capital Markets

The qualification is the final step in the CISI's capital markets study pathway and offers individuals the opportunity to gain specialist knowledge of financial markets, bond and fixed income, financial derivatives and fund management. Visit [cisi.org/dcm](https://www.cisi.org/dcm)