

The CISI's Qualifications and Membership Framework

UK Qualifications Levels	Foundation		Qualifying			Qualifying		Advanced	Postgraduate professional			
	2	3	3			4		5	6		7	
Wealth / Retail	Fundamentals of Financial Services	The Foundation Qualification - Introduction to Investment International Introduction to Investment	International Certificate in Wealth & Investment Management			Certificate in International Advanced Wealth Management	Investment Advice Diploma		Certificate in Pension Transfers & Planning Advice ⁴	Certificate in Private Client Investment Advice & Management	Chartered Wealth Manager Qualification (Diploma in Wealth Management)	
Financial Planning							Certificate in Paraplanning	Investment Advice Diploma (Financial Planning & Advice)		Certificate in Pension Transfers & Planning Advice ⁴	Certificate in Advanced Financial Planning (Route to CFP™)	CERTIFIED FINANCIAL PLANNER (CFP™) (Diploma in Advanced Financial Planning)
Compliance / Risk					Combating Financial Crime	Global Financial Compliance	Risk in Financial Services			Certificate in Climate Risk	Diploma in Investment Compliance	
Operations					Investment Operations Certificate (IOC)	IT in Investment Operations		Managing Operational Risk in Financial Institutions		Advanced Certificate in Global Securities Operations	Diploma in Investment Operations	
Capital Markets / Corporate Finance					Capital Markets Programme	Certificate in Corporate Finance		Level 4 Certificate in Investment Management		Diploma in Capital Markets	Diploma in Corporate Finance	
Islamic Finance			Fundamentals of Islamic Banking & Finance		Islamic Finance Qualification (IFQ)							
Green, Sustainable & Responsible Finance								Green & Sustainable Finance Certificate		Climate Risk Certificate		
European Qualifications Framework (EQF) ²	3	4	4			5		5	6		7	

1. This row is a guide only. Qualifications which are regulated by Ofqual and appear on the Regulated Qualifications Framework (RQF) are marked*.

2. The EQF is an overarching qualifications reference framework that links the qualifications of different countries together. Qualifications that are appropriate for the European Securities and Markets Authority (ESMA) guidelines on knowledge and competence are marked ⁺.

3. Gap-fill required for RDR/RFA.

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CISI Qualification Pathways

Our Fundamentals of Financial Services and Introduction to Investment qualifications provide a comprehensive introduction to the financial services industry with a specific focus on investments.

[cisi.org/qualifications](https://www.cisi.org/qualifications)

Wealth/Retail					
Advising/Dealing in Derivatives	Investment Advice Diploma (Derivatives)		ACSI	Chartered Wealth Manager Qualification	MCSI
Advising/Dealing in Securities	Investment Advice Diploma (Securities)		ACSI	Chartered Wealth Manager Qualification	MCSI
Advising on Retail Investment Products	Investment Advice Diploma (Financial Planning & Advice)		ACSI	Chartered Wealth Manager Qualification	MCSI
				CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
				Certificate in Pension Transfers & Planning Advice	MCSI
Financial Analyst	Investment Advice Diploma (Any pathway)		ACSI	Chartered Wealth Manager Qualification	MCSI
Portfolio Analyst	Investment Advice Diploma (Any pathway)		ACSI	Chartered Wealth Manager Qualification	MCSI
				ICAEW/CISI Diploma in Corporate Finance	MCSI
Stockbroker	Investment Advice Diploma (Any pathway)		ACSI	Chartered Wealth Manager Qualification	MCSI
Wealth Management	Investment Advice Diploma (Any pathway)		ACSI	Chartered Wealth Manager Qualification	MCSI
				Certificate in Pension Transfers & Planning Advice	MCSI
	International Certificate in Wealth & Investment Management	International Certificate in Advanced Wealth Management	ACSI	Chartered Wealth Manager Qualification	MCSI

Financial Planning					
Paraplanner	Certificate in Paraplanning - Accredited Paraplanner (APP)		ACSI	CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
Financial Adviser	Investment Advice Diploma (Financial Planning & Advice)		ACSI	Chartered Wealth Manager Qualification	MCSI
				CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
				Certificate in Pension Transfers & Planning Advice	MCSI
Financial Planner	Investment Advice Diploma (Financial Planning & Advice)		ACSI	CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
				Chartered Wealth Manager Qualification	MCSI
				Certificate in Pension Transfers & Planning Advice	MCSI

Compliance/Risk					
Compliance	Global Financial Compliance		ACSI	Diploma in Investment Compliance	MCSI
	Risk in Financial Services		ACSI		
	Combating Financial Crime		ACSI		
	Managing Cyber Security		ACSI		
Risk Management	Risk in Financial Services	Managing Operational Risk in Financial Institutions	ACSI	Diploma in Investment Operations	MCSI

Operations					
Custody	Investment Operations Certificate (IOC)		ACSI	Advanced Certificate in Global Securities Operations	ACSI
Customer Services	Investment Operations Certificate (IOC)		ACSI		
IT Development and Support	IT in Investment Operations		Affiliate		
	Investment Operations Certificate (IOC)		ACSI		Diploma in Investment Operations
Operations	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI	Advanced Certificate in Global Securities Operations	ACSI
Risk Management	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI		Diploma in Investment Operations
Settlements	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI	Advanced Certificate in Global Securities Operations	ACSI
					Diploma in Investment Operations

Capital Markets / Corporate Finance					
Advising/Dealing in Derivatives	Capital Markets Programme (Derivatives)		ACSI	Diploma in Capital Markets	MCSI
Advising/Dealing in Financial Derivatives	Capital Markets Programme (Financial Derivatives)		ACSI	Diploma in Capital Markets	MCSI
Advising/Dealing in Securities	Capital Markets Programme (Securities)		ACSI	Diploma in Capital Markets	MCSI
Corporate Finance	Certificate in Corporate Finance		ACSI	ICAEW/CISI Diploma in Corporate Finance	MCSI
Financial Analyst	Capital Markets Programme (Any pathway)		ACSI	Diploma in Capital Markets	MCSI
Investment/Fund/Portfolio Management	Certificate in Investment Management		ACSI	Diploma in Capital Markets	MCSI
Portfolio Analyst	Capital Markets Programme (Any pathway)		ACSI	Diploma in Capital Markets	MCSI
	Certificate in Corporate Finance		ACSI	Diploma in Capital Markets	MCSI
				ICAEW/CISI Diploma in Corporate Finance	MCSI