

ADVANCED CERTIFICATE IN GLOBAL SECURITIES OPERATIONS

The Chartered Institute for Securities & Investment (CISI) is the principal provider of qualifications for the financial services industry. In particular, the CISI has developed a wide ranging programme of qualifications for employees working in, or aspiring to work in, investment operations.

The **Advanced Certificate in Global Securities Operations (AGSO)** is aimed at individuals working in operations and/or administration in the financial services industry. It enables candidates to develop their skills and knowledge of operations within the global marketplace and offers a route to senior management level positions within operations.

"The Advanced Certificate in Global Securities Operations offers candidates valuable, in-depth knowledge of operations within the global marketplace. I would highly recommend this qualification to anyone working within operations"

*Mark Farrance ACSI, Vice President,
The Bank of New York Mellon*

Who should study for the Advanced Certificate?

The Advanced Certificate is a valuable qualification for staff engaged in administration or operations in the financial services industry who wish to hold a senior level position within their firm. It is suitable for those working in both wholesale and retail firms. It will be of particular value to firms keen to prepare staff for more demanding roles which require a broader understanding of the environment in which the firm operates.

This module is primarily aimed at Supervisors, Team Leaders, Assistant Managers, Managers and Senior Technical Specialists working in Investment Operations (Custody, Settlements, Corporate Actions, Treasury Operations/Cash Management, Derivatives and Reconciliations).

The Advanced Certificate in Global Securities Operations is achieved through passing:

- * Global Securities Operations (see IOC, formerly known as IAQ, programme)
- * Advanced Global Securities Operations

Key Features

- ✓ An advanced level qualification for those seeking to specialise in operations
- ✓ A fast track to acquiring senior level roles within the operations arena
- ✓ Global qualification suitable for those working in the UK and overseas
- ✓ Appropriate for those working both in wholesale and retail firms
- ✓ Developed in conjunction with leading operations practitioners
- ✓ Provides a stepping stone from IOC to the highly regarded Diploma in Investment Operations

Regulatory Approval

Ofqual

The CISI has been recognised as an Awarding Body by Ofqual so that both individuals and firms may be assured that the CISI's processes, policies and systems meet rigorous quality assurance standards.

Scottish Investment Operations

The CISI Advanced Certificate in Global Securities Operations was developed in consultation with the Scottish Investment Operations (SIO). SIO, the body promoting careers in Scotland's flourishing investment industry, were a key partner in identifying the need for a higher-level qualifications route for investment operations staff, and in the development of this qualification.



Syllabus

Global Securities Operations

The Global Securities Operations offers candidates an understanding of:

- ✓ Securities
- ✓ Main industry participants
- ✓ Settlement characteristics
- ✓ Other investor services
- ✓ Aspects of taxation
- ✓ Risk

Advanced Global Securities Operations

The Advanced Global Securities Operations covers:

- ✓ Investment Account Openings
- ✓ UK Market and Stock Exchange Fees and Taxes
- ✓ Settlement
- ✓ Custodians
- ✓ Stock Lending and Stock Borrowing
- ✓ Cash Management
- ✓ Corporate Entitlements
- ✓ Straight-through Processing and Technology
- ✓ Service Level Agreements
- ✓ Managing Client Transitions

To view the full syllabus for both units visit: [cisi.org/syllabuses](https://www.cisi.org/syllabuses)

Entry Requirements & Exemptions

There are no formal achieved entry requirements but most candidates have the IAQ/IOC before registering for this qualification. Candidates who have already successfully completed the Global Securities operations module within the IAQ/IOC are exempt from unit one and need only take the Advanced Global Securities Operations to complete the qualification.

How is the qualification delivered?

Global Securities Operations

- ✓ One hour multiple choice examination comprising 50 questions.
- ✓ This unit is examinable via Computer Based Testing (CBT).

Candidates sitting the exam by CBT will be required to answer up to 10% additional trial questions that will not be separately identified and do not contribute to the result. Candidates will be given proportionately more time to complete the test.

Prometric, the CISI's examination delivery partner, offer a worldwide network of test centres to ensure flexible scheduling, instant results and ease of completing the examination on screen. To find your nearest test centre visit: [cisi.org/CBT](https://www.cisi.org/CBT)

Advanced Global Securities Operations

- ✓ Three-hour manuscript examination, comprising a variety of short and case-study style questions.
- ✓ This unit is taken as a written exam held twice a year, in June and December. The closing date for the June examination is the first week in May, for December examination mid October. For a list of written examination venues visit: [cisi.org/p&p](https://www.cisi.org/p&p)

How to register for the Advanced Certificate

- Step 1: Pay a one-off registration fee
- Step 2: Book your examination/s
- Step 3: Complete a Qualifications Registration Form at cisi.org/qrf

Prices

Visit cisi.org/prices to ascertain current prices.

Studying for the Advanced Certificate

Formal training is available through CISI Accredited Training Providers (ATP). The CISI accredits training providers that deliver high quality training and support to candidates preparing to sit CISI examinations. To find an ATP near you, visit cisi.org/ATP

Self Study Route - In addition to, or instead of formal training, candidates can choose the self-study route. The CISI publishes the workbook for Global Securities Operations. The CISI also publishes the Advanced Global Securities Operations workbook-sponsored by the Scottish Investment Operations. The CISI workbooks offer comprehensive coverage of every area of the syllabus, end of chapter summaries and sample examination questions to ensure candidates are fully prepared before the examination.



Recommended study times

Global Securities Operations	70 hours
Advanced Global Securities Operations	100 hours

CISI membership

Candidates receive free student membership on completion of the qualification registration form.

Student membership includes:

- ✓ complimentary copy of CISI magazine - S&I review
- ✓ discounts on conferences and training courses
- ✓ online dictionary of securities & investment terms
- ✓ 4 free CPD events a year

Once a candidate successfully completes the Certificate they are eligible for Associate membership of CISI (ACSI). To join 40,000 financial practitioners and enjoy the benefits of CISI membership, find out more at cisi.org/membership

“This is just what the industry needs - a relevant advanced Investment Operations qualification.

John Hogg, Department Manager, Citi and Chairman of Scottish Investment Operations (SIO)

Next Steps → Diploma in Investment Operations

The Diploma in Investment Operations is an award for individuals aspiring to senior roles in operations. For more information visit: cisi.org/pathdip

Advanced Certificate
in Global Securities
Operations

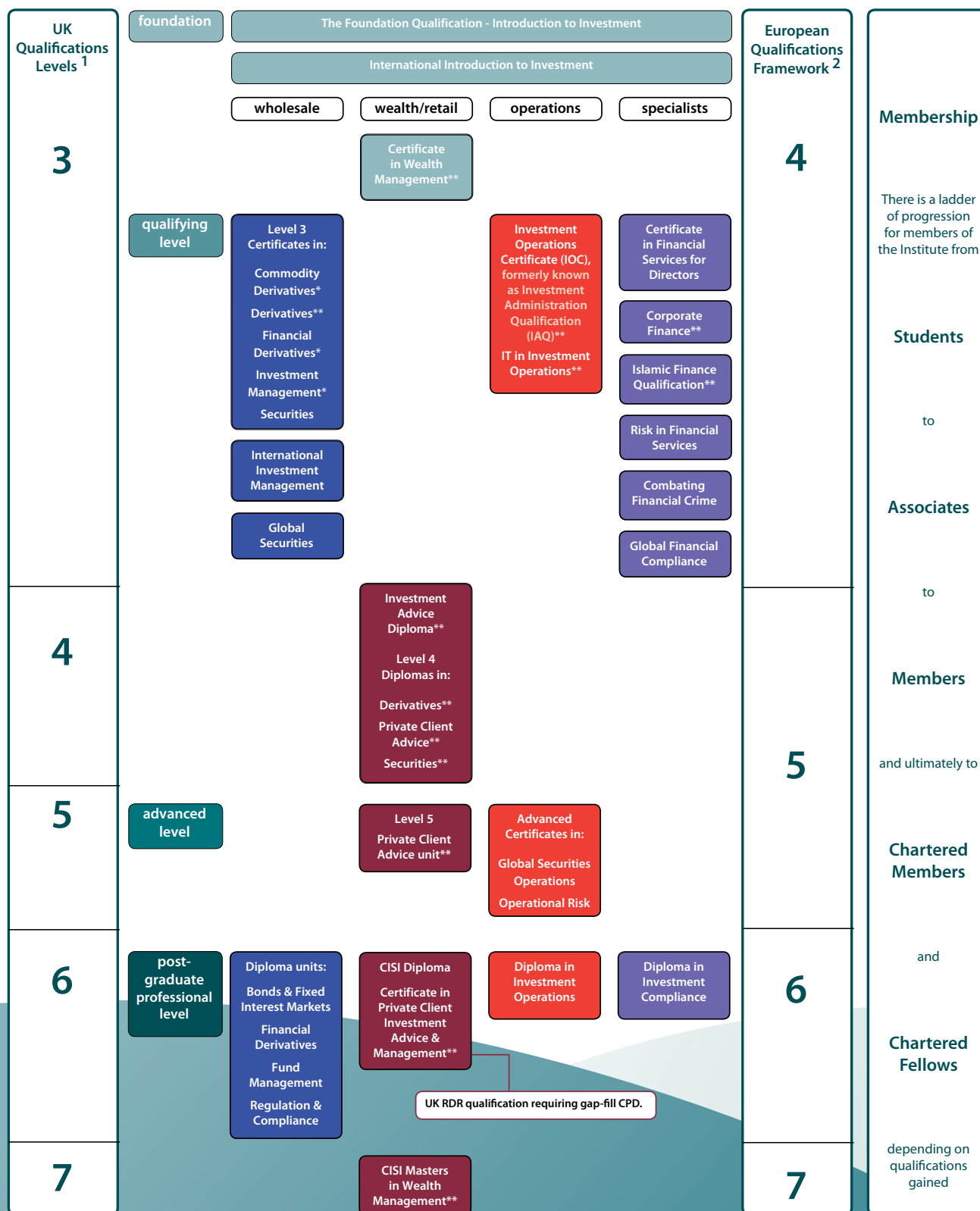


Global Operations
Management Module



Diploma in
Investment Operations

The Qualifications and Credit Framework



1. This column is a guide only. Within the chart, National Qualifications Framework* and Qualifications and Credit Framework** accredited qualifications are marked accordingly.

2. The European Qualifications Framework is an overarching qualifications reference framework that links the qualifications of different countries together.

CISI OFFICES IN

COLOMBO

DUBAI

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SINGAPORE

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