

DIPLOMA IN INVESTMENT OPERATIONS

The Chartered Institute for Securities & Investment (CISI) is the principal provider of qualifications for the financial services industry.

The Diploma in Investment Operations is widely acknowledged as the most appropriate qualification for staff wishing to pursue a career in investment operations. It offers individuals the opportunity to specialise in the administration of investment funds and custody and settlement as well as to gain a broad understanding of the wider financial environment. It will enable staff to demonstrate their knowledge and skills and pursue a senior management role within investment operations.

Who should study for the Diploma in Investment Operations?

The Diploma in Investment Operations is a valuable qualification for any individual wishing to pursue a career in investment operations and in particular those employed at a supervisory level aspiring to a senior management role. It is suitable for those working in both wholesale and retail firms.

How can I achieve the Diploma in Investment Operations?

Achieve a pass in an Advanced Certificate and the Global Operations Management unit.

Key Features

- ✓ Specialist qualification for operations professionals in financial services firms
- ✓ Offers candidates the knowledge and skills to pursue a senior operations role
- ✓ Provides comprehensive coverage of investment funds, custody and settlement and the wider financial environment
- ✓ Successful candidates are eligible for MCSI membership of the Institute and access to the CISI Operations Forum

“ This is just what the industry needs - a relevant advanced investment operations qualification ”

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

Your path to achieving the Diploma in Investment Operations



For more information on the Advanced Certificates visit cisi.org/advcerts

For more information on the Global Operations Management Unit visit cisi.org/GOM

How is the qualification delivered?

All advanced units and the Global Operations Management unit are examinable via a three-hour written exam held twice a year in June and December. For a list of written examination venues visit cisi.org/ppvenuemaps

To pass an Advanced Certificate overall, candidates must first pass an examination comprising 50 multiple choice questions and then the corresponding three-hour advanced unit exam. These threshold exams are deliverable via CBT. Prometric, the CISI's examination delivery partner, offers a worldwide network of CBT test centres. To find your nearest test centre visit cisi.org/CBT

Regulatory Approval

Ofqual

The CISI has been recognised as an awarding body by Ofqual so both individuals and firms can be confident that the CISI's processes, policies and systems meet rigorous quality assurance standards.

Syllabus

To view the full syllabus for the Advanced Certificates or Global Operations Management unit visit cisi.org/syllabuses

Entry Requirements & Exemptions

There are no formal entry requirements, although the CISI recommends that you have:

- * completed the IOC (also known as IAQ) or
- * completed an equivalent level qualification recognised by the CISI or
- * possess industry experience at a comparable level

How to register for the Diploma

- 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.

Results

For those exams taken via CBT, results are available to candidates upon leaving the test centre. All advanced units are assessed via written exam, with the results issued approximately 10 weeks after the examination.

Studying for the Diploma in Investment Operations

Formal training is available through a CISI accredited training provider (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.

Recommended study times

Advanced Certificate in Operations Risk	170 hours
Advanced Certificate in Global Securities Operations	170 hours
Global Operations Management	200 hours



CISI Membership

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

Student membership includes:

- ✓ complimentary copy of the CISI magazine - *Securities & Investment Review*
- ✓ discounts on conferences, training courses and publications
- ✓ free dictionary of securities & investment terms
- ✓ four free CPD events a year

Once a candidate successfully completes the Diploma they are eligible for full membership of the CISI (MCSI).

Additional MCSI benefits include:

- ✓ Access to the CISI online CPD scheme
- ✓ Unlimited access to over 100 free CPD events a year
- ✓ Access to the CISI Operations Forum

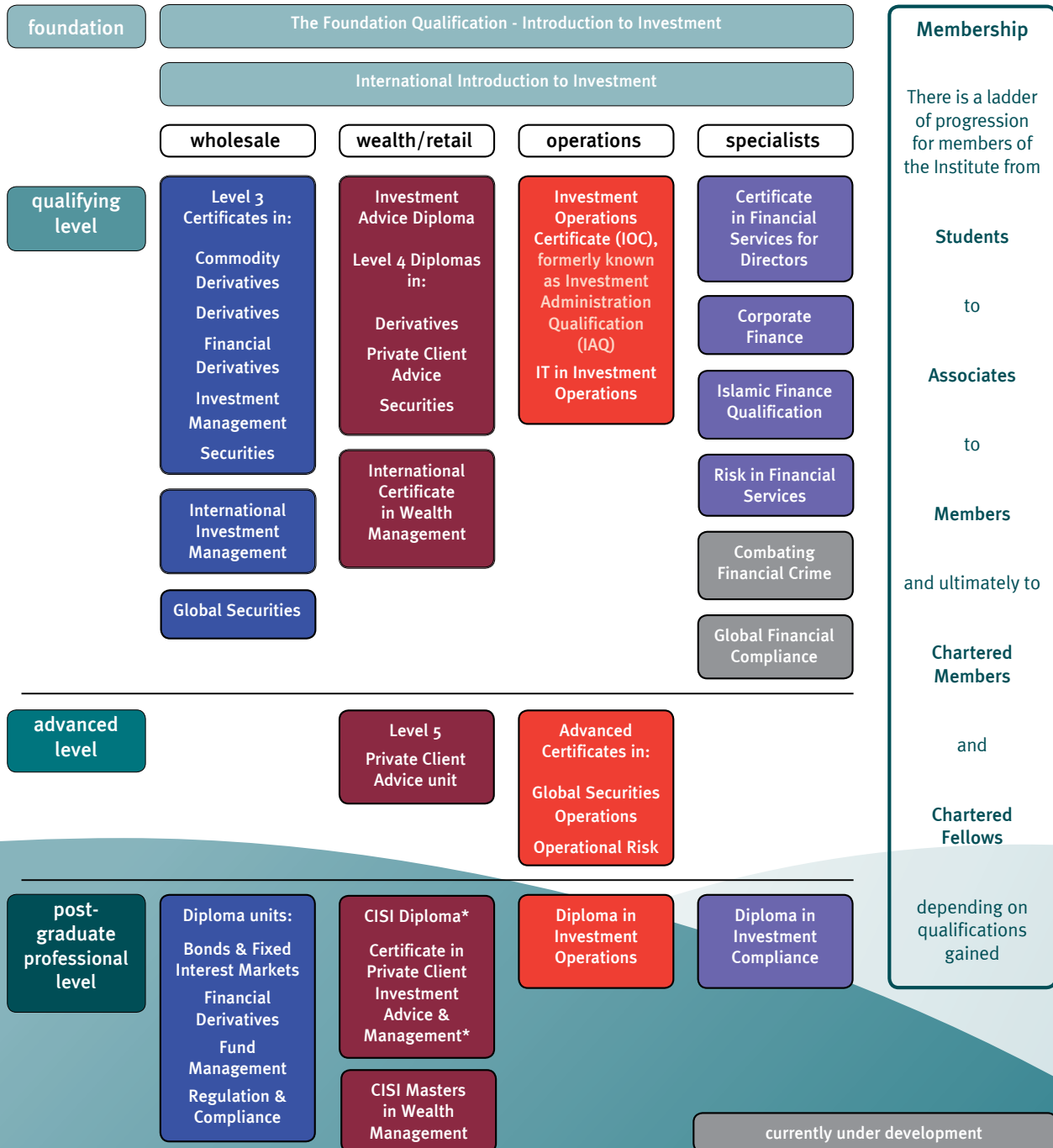
and many more....

To join 40,000 financial practitioners and enjoy the benefits of CISI membership, find out more at cisi.org/membership

Scottish Investment Operations (SIO) has sponsored the workbooks and helped develop the syllabuses for the Advanced Certificate in Global Securities Operations. Established in 2001, SIO is a professional body supporting employers in the Scottish investment industry. Its members are fund management companies, investment banks and other financial institutions. For more information visit www.sio.org.uk



The CISI Qualifications Summary



* RDR transitional qualification requiring top-up CPD.

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