



# Top of your game

What are you doing to maintain your competence and meet your 10 hour CISI CPD requirement?

# CPD Guidance for members working in Operations

From 1 April 2017, all CISI members are required to maintain and develop their knowledge by undertaking at least 10 hours CPD annually where a minimum of six hours is required to be Structured and one hour covered in Ethics.

To maintain and develop your knowledge and skills there needs to be an aspect of review and planning. We recommend that you use this guidance to ensure that you comply with the requirements by considering your development needs within these areas:

- Changes to legislation and regulation
- Skills and expertise
- Address gaps in your knowledge linked to your technical area of specialism

## Recording of CPD

[cisi.org/cpd](https://cisi.org/cpd)

The CISI provides an online recording CPD tool, free to members, that can record and monitor your CPD progress. All CISI activities undertaken with the CISI are automatically recorded within your CPD record.

## CISI Professional Refresher

[cisi.org/cisipr](https://cisi.org/cisipr)

Professional Refresher is our online elearning tool that is free to members, which covers a variety of topic areas enabling you, upon reading the material, to test your knowledge.

Modules contain a workshop which may include video or links to further information. Members undertaking these modules need to undertake a test at the end of the module to successfully be awarded their CPD hours.

## CISI TV

[cisi.org/cisitv](https://cisi.org/cisitv)

CISI TV allows you to view a selection of our most popular CPD events online, anywhere, anytime and earn CPD hours. CISI TV is available to watch on your smartphone, tablet or PC.

A short quiz can be taken after watching a CISI TV video which allows you to earn an extra 15 minutes of CPD on top of the CPD for watching the video.

# Integrity and Ethics Suite

[cisi.org/integrity](https://cisi.org/integrity)

The CISI has numerous resources to help you earn Integrity and Ethics CPD:

- IntegrityMatters elearning test
- Grey Matters dilemma (articles)
- Integrity at Work workshop
- Speak Up workshop
- Annual Integrity Debate (event)

# Events

[cisi.org/events](https://cisi.org/events)

The CISI offers an extensive programme of CPD and networking events in London, regionally and internationally. These events keep you up to date with the latest insights and developments in the financial services sector, enable you to benchmark your processes with peers and network with members.

# Qualifications

[cisi.org/operations](https://cisi.org/operations)

The CISI offers a wide range of qualifications for individuals working in financial services. Individuals working in Operations are encouraged to follow the pathway set below as guidance to career development. All examinations undertaken can be counted towards your CPD requirement.



# CISI guidance on online modules to maintain knowledge

The CISI offers a range of online learning opportunities to assist you in meeting your 10 hours CPD requirement and maintain your knowledge. These are broken down under the related subject matter. Members are encouraged to undertake at least one module in Ethics, Risk and Regulation annually.

## Professional Refresher

### Ethics

Conflicts of Interest  
Integrity and Ethics  
Regulation and Ethics  
Speak Up

### Risk

Conduct Risk  
Information Securities and Data Protection  
Insolvency and Bankruptcy  
Investment Principles and Risk

### Regulation

Anti-Money Laundering  
Approved Persons Regime  
Banking Standards  
Certification - what it means to you  
Client Categories  
Conduct Rules  
Customer Complaints Procedure  
Cybercrime  
European Market Infrastructure Regulation  
Financial Crime  
Financial Ombudsman Service

Financial Promotions  
Human Trafficking and the Modern Slavery Act  
Market Abuse  
MiFID II  
Permissions Regime  
Senior Managers and Certification Regime  
T&C Supervision Essentials  
Training and Competence  
Treating Customers Fairly  
UK Bribery Act  
UK Regulatory Structure

## Areas of Specialism

Members would only undertake these modules if they are relevant to their role or upcoming role in the financial services profession.

### Administration of Funds

Estate Planning  
Offshore Fund Administration  
Sovereign Wealth Funds  
Structured Wealth  
Trusts  
UCITs  
VCTs & EISs

### Asset Servicing

Corporate Actions  
Corporate Governance  
Non-Executive Directors' Roles

### Clearing and Settlement

Central Clearing  
European Market Infrastructure Regulation  
MiFID II

### Derivatives

Best Execution  
Commodities and Energy Markets  
Derivatives

### Islamic Banking

Islamic Banking

### Platforms and Service Providers

Exchange Traded Funds  
Price Stabilisation  
Regulation of Platforms

### Securities

Best Execution  
Client Assets and Client Money  
Securities Financing

### Soft skills

Influencing Teams  
Managing in the Regulatory Environment  
Presentation Skills

### Taxation

Budget  
Financial Transaction Tax  
Foreign Account Tax Compliance Act (FATCA)  
Investment Taxation  
Taxation