



## ***CISI - UK Financial Regulation***

Our alternate training methods are on the following page.

### ***Course Summary***

The Chartered Institute for Securities & Investment (CISI) is the leading professional body for securities, investment, wealth and financial planning professionals.

The UK Financial Regulation module is one of the Regulatory modules that can be taken for those looking to achieve the Investment Operations Certificate (IOC).

The module ensures candidates have an understanding of the regulations and legislation that underpin financial markets in the conduct of investment business in the UK.

Course Fee	Course Dates & Times
<b>£475</b>	9th July - 09:30 till 16:30 10th July - 09:30 till 16:30

Course held at our **training facility** in Trinity Square Centre



# Course Syllabus

The Regulatory Environment

The Financial Services and Markets Act 2000  
and Financial Services Act 2012

Associated Legislation and Regulation

The FCA Conduct of Business Sourcebook /  
Client Assets

Complaints and Redress

Q&A Session

## Why choose: UK Financial Regulation

### UK Financial Regulation:

- one of the regulatory modules that can be taken to make up the Investment Operations Certificate
- ensures that candidates demonstrate the ability to understand the UK Regulatory Environment as well as other associated markets acts and legislation
- is awarded as a level 3 module certificate for successful candidates.

This course also forms part of the Investments Operations Certificate. For more information on all our IOC Modules, please visit:  
[www.midshoreconsulting.com/events/](http://www.midshoreconsulting.com/events/)

### Alternate training methods

#### In House Training

*This course can be held at your own offices or in our training facility. We are also able to offer bespoke training on a number of topics. Contact us for more info.*

#### Midshore Online Training

*Midshore online training is our online service for individuals who wish to take training at their own pace. Speak to our team to discuss the options available.*

CPD earned on completion

10  
Hours

### Exam & Course Information

**1.5 hour multiple choice computer based test**

(Can be taken at the Prometric Test Centre)

**75 questions - 70% pass mark**

**Held at Midshore's Training Facility**

**Slide notes & slides index provided.**

### Booking Information

**Write to us at:**  
Midshore Consulting Limited  
Upper Mansell Street  
St Peter Port  
Guernsey, GY1 1LY

**Online:**  
[www.midshoreconsulting.com/book/](http://www.midshoreconsulting.com/book/)  
**Email:** [Booking@midshoreconsulting.com](mailto:Booking@midshoreconsulting.com)  
**Telephone:** +44 (0) 1481 730733

### Other notes:

Directions to our training facility can be found at [www.midshoreconsulting.com/contact-us](http://www.midshoreconsulting.com/contact-us)

Workbook must be purchased directly from the CISI.

Examination & qualification registration must be booked directly with the CISI.

Exams can be sat 1<sup>st</sup> and 3<sup>rd</sup> Tuesday of each month at the Prometric Test Centre at Logicalis, Pitronnerie Road.

