

CISI INVESTMENT ADVICE DIPLOMA (IAD)

The CISI Investment Advice Diploma (IAD) gives you the skills and knowledge you need to comply with RDR exam standards – known as the ‘Level Four’ qualifications. It will strengthen your understanding of securities, derivatives and packaged products.

BPP draws on over 35 years of experience and focuses on employability and career progression by providing the knowledge, skills and practical application that will enable you to pass your professional qualifications. Our tutors are a dynamic mix of business practitioners and academics, and train students from 75 of the FTSE 100 companies. We also train over 30,000 accountants and investment professionals towards over 100,000 exams each year.

We believe in offering flexible, affordable and business-focused solutions. You can attend classes in one of our centres throughout the UK or study on the move with a range of distance learning methods including innovative online learning options. Advance your career with a professional qualification.

PROGRAMME OVERVIEW

Following changes in the Retail Distribution Review (RDR) qualification standards, if you're advising on, or working in, securities or derivatives and associated packaged products, you must have passed a Level Four qualification or above.

The CISI is the professional body for those who work predominantly in the UK securities and investment industry. Passing the CISI Investment Advice Diploma (IAD) programme is one way to prove the competence required to achieve ‘approved person’ status; a crucial step in moving your career forward in the securities and derivatives market. You will also be able to demonstrate a more thorough understanding of the products your company deals in, whilst gaining the confidence of your clients and your organisation as a whole.

Programme	CHARTERED INSTITUTE FOR SECURITIES & INVESTMENTS (CISI) INVESTMENT ADVICE DIPLOMA (IAD)
Length of Programme:	- 9-12 days' training (depending on options) Typically 6-12 months to complete full qualification
Modes of Study:	- Taught and Online Classroom
Assessment:	- Computer-Based Assessments (CBAs) & written examinations
Study Centres:	- London
Start Dates:	- Multiple start dates available, for full details visit bpp.com/iad
Fees:	- For full details visit bpp.com/iad

EXAM STRUCTURE

The IAD is assessed by a combination of computer-based assessments (CBAs) and/or written examination. Four of the available five units are assessed via two-hour CBAs, which consist of 80 multiple choice questions. The Private Client Advice unit is a three-hour paper-based examination that can be taken in June and December each year. It is a written exam consisting of a variety of short factual questions, as well as longer, essay-style and scenario-based questions.

ENTRY REQUIREMENTS

The IAD is intended for employees currently advising and/or dealing in securities and derivatives, and those advising on packaged products. There are no formal entry requirements. If you already have IMC Level Four, you are usually exempt from either the UK Regulation and Professional Integrity paper, or the Investment, Risk and Taxation paper. We would recommend that you confirm this directly with the CISI.



BPP
PROFESSIONAL
EDUCATION



PREMIER TRAINING PROVIDER

WHY BPP?

- ✓ BPP is a Chartered Institute for Securities and Investment (CISI) accredited training provider with excellent first time pass rates
- ✓ Pass assurance: repeat the course for free if you don't pass first time*
- ✓ Comprehensive, targeted study materials with many practice questions
- ✓ Flexible learning - choose between a classroom-based taught course or study at your own pace via Online Classroom
- ✓ Additional online resources enabling you to catch up, review and re-cap
- ✓ Dedicated CISI tutor teams with course expertise and industry experience
- ✓ In-house learning available
- ✓ Tutor support by email or phone
- ✓ Highly respected and recognised by employers and industry practitioners alike

*Subject to BPP's Pass Assurance terms and conditions

LEARNING MATERIALS

Benefit from BPP study materials including the official CISI workbook. Constant revision and review techniques are used, including practice questions for the trickiest areas of the syllabus. Our e-Learning is of the highest quality – with MP3 and MP4 downloads, online tutorials and practice and revision kits.

HOW TO BOOK

To book or to find out more visit bpp.com/iad
or call **+44 (0) 1534 711800**

PROGRAMME STRUCTURE

REGULATORY UNIT

UK Regulation and Professional Integrity

This unit tests candidates' ability to apply appropriate knowledge and understanding of UK financial markets, regulation and ethics to financial planning, advice and management for retail customers. Specific elements include:

- The UK financial services industry and its relationship with UK consumers
- Professional ethics and integrity
- UK regulatory infrastructure, including European Union Directives
- The Financial Conduct Authority (FCA) supervisory objectives, principles and processes
- Authorisation of firms and individuals
- The regulatory framework relating to financial crime
- Complaints and compensation
- The regulatory framework relating to the provision of financial services, fair treatment of customers and protection of client assets

CORE UNIT

Investment, Risk and Taxation

This unit assesses candidates' ability to apply the knowledge, theory and practical techniques required in order to assess a client's current financial position and future requirements. It also tests their ability to make suitable investment recommendations, monitor performance and respond appropriately to changing needs and circumstances. Specific elements include:

- The macro-economic context of investment advice and planning
- The main asset classes; characteristics and applications
- The main investment products; characteristics and applications
- Investment theories and their practical application
- Identification, measurement and assessment of investment risks and returns
- Taxation of investors and investments in the UK
- Portfolio planning, construction, review and maintenance
- Provision of investment advice including the ability to analyse clients' circumstances and apply suitable investment product recommendations to meet client-led objectives

TECHNICAL UNITS

Securities

This unit tests candidates' ability to apply appropriate knowledge and understanding of securities, markets and related functions and administrations. Specific elements include:

- Fixed Income Securities
- Cash, Money Markets and the Foreign Exchange Markets
- Equities
- Settlement, Safe Custody and Prime Brokerage
- Securities Analysis
- Collective Investments
- Portfolio Construction
- Investment Selection and Administration
- Trading, Hedging and Investment Strategies
- Investment Selection and Administration
- Special Regulatory Requirements

Derivatives

This unit assesses candidates' basic knowledge of the regulations and practices in financial and commodity derivatives, their underlying markets, trading and the principles of investment strategies. Specific elements include:

- Introduction to Derivatives
- Underlying Assets
- Exchange Traded Futures and Options
- OTC Derivatives
- Clearing, Delivery and Settlement
- Portfolio Research and Construction
- Trading, Hedging and Investment Strategies
- Investment Selection and Administration
- Special Regulatory Requirements

Private Client Advice

This unit provides employees advising on packaged products with the planning skills for financial protection, pensions and retirement. It builds on the core knowledge gained from the UK Regulation and Professional Integrity and Investment, Risk and Taxation units. Specific elements include:

- Financial Protection
- Pensions and Retirement Planning
- Application of knowledge and understanding

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