

# INVESTMENT ADVICE DIPLOMA PROGRAMME



The **Investment Advice Diploma** has been developed to provide employees advising and/or dealing in Securities or Derivatives, advising on Packaged Products and/or Managing Investments with the knowledge and skills required for their job roles.

This programme is the CISI's new qualification specifically developed to comply with the new examination standards of the RDR. It appears on the FSA's Appropriate Qualification tables and is a Diploma to reflect the amount of learning required.

**This Diploma qualification is locally accredited by the Malta Qualifications Council (MQC) at EQF Level 5.**

## Assessment Structure & Study Time

The IAD is composed of three units, each consisting of a two-hour exam of 80 MCQs. Each exam can be taken at Computer Domain in Mosta. Candidates receive their results upon completion of their exam. Candidates sitting electronic exams will be required to answer up to 10% additional trial questions that will not be separately identified and do not contribute to the result.

Exams for the Private Client Advice unit, which consists of a 3-hour narrative paper, are held twice a year in June and December. The closing date for the June exam is the first week of May. The closing date for the December exam is mid-October. The Private Client Advice unit is assessed by written exam with the results issued approximately 10 weeks after the examination.

## Entry Requirements & Recommended Study Hours

There are no entry requirements set by the awarding body, though we would recommend that students must have successfully completed a similar technical course at Certificate level. (e.g. CeFA). The recommended study hours for all units is 140 hours, except for the Private Client Advice which requires a total of 180 hours.

## Classification of Technical Courses (Financial Advice)

Investment Advice Diploma EQF Level 5  
Chartered Wealth Manager Qualification EQF Level 7

## Syllabus

### REGULATORY UNIT (*compulsory*)

**UK Regulation & Professional Integrity** - the UK Financial Services Industry; UK Financial Services and Consumer Relationships; UK Contract and Trust legislation; Integrity and Ethics in Professional Practice; The Regulatory Infrastructure of UK Financial Services; FSA Supervisory Objectives, Principles and Processes; FSA Authorisation of Firms and Individuals; The Regulatory Framework relating to Financial Crime; Complaints and Compensation; Conduct of Business — fair treatment of customers, the provision of advice & services and client money protection.

### CORE UNIT (*compulsory*)

**Investment, Risk and Taxation** - Asset Classes; Macro-Economic Environment; Principles of Investment Risk and Return; Taxation of Investors and Investments; Investment Products; Investment Planning; Investment Advice; Portfolio Performance Review.

### TECHNICAL UNIT (*one of the following*)

**Securities** - 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

### OR

**Derivatives** - 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.

### OR

**Financial Planning & Advice** - Financial Protection; Pensions and Retirement Planning; Application of knowledge and Understanding

## Investment Advice Diploma Programme - Registration Form

<b>CISI Fee</b>	One time CISI Registration Fee	[ <input checked="" type="checkbox"/> ] € 65
Regulatory Unit	UK Regulation & Professional Integrity (registration & certification) *	[ <input type="checkbox"/> ] € 510
Core Unit	Investment, Risk & Taxation (registration & certification) *	[ <input type="checkbox"/> ] € 510
Technical Unit	Securities <b>or</b> Derivatives <b>or</b> (registration & certification) * <b>or</b>	[ <input type="checkbox"/> ] € 510
	Private Client Advice (registration & certification) * <b>or</b>	[ <input type="checkbox"/> ] € 510
	Financial Planning and Advice (registration & certification) *	[ <input type="checkbox"/> ] € 510
<b>Resit Fee</b>	Exam Re-Sit ( <i>Regulatory, Core, Technical</i> )	[ <input type="checkbox"/> ] € 365
	Exam Re-sit ( <i>Private Client Advice</i> )	[ <input type="checkbox"/> ] € 365
	Exam Re-Sit ( <i>Financial Planning and Advice</i> )	[ <input type="checkbox"/> ] € 365

\* the above fees include examination sitting, pdf workbooks and certification.

<b>Personal Information</b>	
Name & Surname: _____	CISI Membership (if any): _____
Date of Birth: ____ / ____ / _____	I.D. No.: _____ Contact No.: _____
Home Address: _____	
E-mail Address: _____	
<b>Office Information</b>	
Office Address: _____	
Office E-mail: _____	Office Tel: _____
I certify that the information hereby provided is true and correct:	
_____ Signature	_____ Date

**Refund Policy:** Full refund is offered prior to start of course., deducting a €50 administration fee. No refund applicable once the course has started.

**Membership:** Registration entitles you to become a full registered local member of the ifs Malta. This membership is free and valid for a maximum period of twelve months, after which the Committee will evaluate and consider whether to extend such membership for another fixed period or for an indefinite period of time. Renewal of membership is valid for an additional twelve month period. The local membership is subject to review by the Committee at any time.

**Data Protection Notice:** ifs Malta holds and processes your personal data in order to give you the full benefits of being a student, for administration purposes and to inform you of any future ifs Malta events, services and other related information. In instances where employers sponsor their employees for all or parts of the course/s, ifs Malta is bound to inform such employers upon the performance and results of their relevant employees if any assessment parts are carried out. ifs Malta does not sell or give your personal data to any other third party. In the eventuality that ifs Malta would need to give any personal data to a third party, you will on a case-by-case basis, be duly informed and you will also be given the opportunity to refuse that such data be given. You have the right to request access to and rectification of, the personal data concerning you that is held by ifs Malta.