

# IOC INVESTMENT OPERATIONS CERTIFICATE (ALSO KNOWN AS INVESTMENT ADMINISTRATION QUALIFICATION, IAQ™)

The **Certificate in Investment Operations** is a global practitioner-led programme for administration and operations staff working in both wholesale and retail firms. It equips individuals with an overview of the financial services industry and its regulation as well as providing a detailed picture of their particular industry sector. It incorporates a range of exams that present different technical activities within the industry and is taken by over 10,000 candidates a year.

Completing the IOC demonstrates professionalism and commitment to high standards and offers progression to high-level qualifications and career progress.

*This certificate qualification is locally accredited by the Malta Qualifications Council (MQC) at EQF Level 4.*

## How is it assessed?

Each IOC unit comprises a one-hour, 50 MCQ exam (with the exception of Risk in Financial Services which is a two-hour, 100 MCQ exam). Candidates may be required to answer up to 10% additional trial questions that will not be separately identified and do not contribute to the result. Candidates will be given proportionately more time to complete the test. The IOC is awarded on the basis of passes in three units. The pass mark for each unit is 70%. Exams can be taken remotely or delivered by computer based testing at Computer Domain in Mosta.

## Recommended Study Time

The CISI recommends a minimum of 80-100 hours studying per unit.

## Regulatory Unit

In replacement to the Unit offered by the CISI which is mainly based on UK Financial Regulation (students may opt to undertake the Maltese Financial Regulation (MFR), offered and awarded by ifs Malta.

## Unit Selection

Unit selection depends on individual circumstances but generally candidates are either:

- in an overseeing role working for a firm which is authorised and regulated by the MFSA. These candidates are encouraged to undertake:
  - International Introduction to Securities & Investment
  - UK Financial Regulation (or the Maltese Financial Regulation)
  - A technical unit relevant to the role

## IOC Unit Selection

**It is suggested that students register for one module at a time**

### CORE

- ◇ International Introduction to Securities & Investments

### REGULATORY UNITS

- ◇ UK Financial Regulation (*or*)
- ◇ Maltese Financial Regulation

### TECHNICAL UNITS

- ◇ Asset Servicing
- ◇ Collective Investment Schemes Administration
- ◇ Combatting Financial Crime
- ◇ Derivatives Operation
- ◇ Global Securities Operations
- ◇ Technology in Investment Operations
- ◇ Managing Cyber Security
- ◇ Operational Risk
- ◇ Platforms, Wealth Management & Service Providers
- ◇ Risk in Financial Services
- ◇ Global Financial Compliance
- ◇ Client Money and Assets

## Registration Form

Unit	Title of Unit	Registration & Certification	Resit
<b>CISI Fee</b>	One time CISI Registration Fee	[ <input checked="" type="checkbox"/> ] € 85	N/A
<b>Core</b>	International Introduction to Securities & Investments	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
<b>Regulatory</b>	UK Financial Regulation	[ <input type="checkbox"/> ] € 360	[ <input type="checkbox"/> ] € 260
	Maltese Financial Regulation	[ <input type="checkbox"/> ] € 360	[ <input type="checkbox"/> ] € 60
<b>Technical</b>	Platforms, Wealth Management & Service Providers	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Asset Servicing	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Collective Investment Scheme Administration	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Global Securities Operations	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Technology in Investment Management	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Transfer Agency Admin & Oversight	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Operational Risk	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Risk in Financial Services	[ <input type="checkbox"/> ] € 495	[ <input type="checkbox"/> ] € 360
	Combatting Financial Crime	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195
	Global Financial Compliance	[ <input type="checkbox"/> ] € 495	[ <input type="checkbox"/> ] € 360
	Derivatives Operations	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 250
	Client Money and Assets	[ <input type="checkbox"/> ] € 350	[ <input type="checkbox"/> ] € 195

### Personal Information

Name & Surname: \_\_\_\_\_ CISI Membership (if any): \_\_\_\_\_

Date of Birth: \_\_\_\_ / \_\_\_\_ / \_\_\_\_\_ I.D. No.: \_\_\_\_\_ Contact No.: \_\_\_\_\_

Home Address: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

### Office Information

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 valid for the duration of the course or a period of twelve months whichever is the longest.

**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.