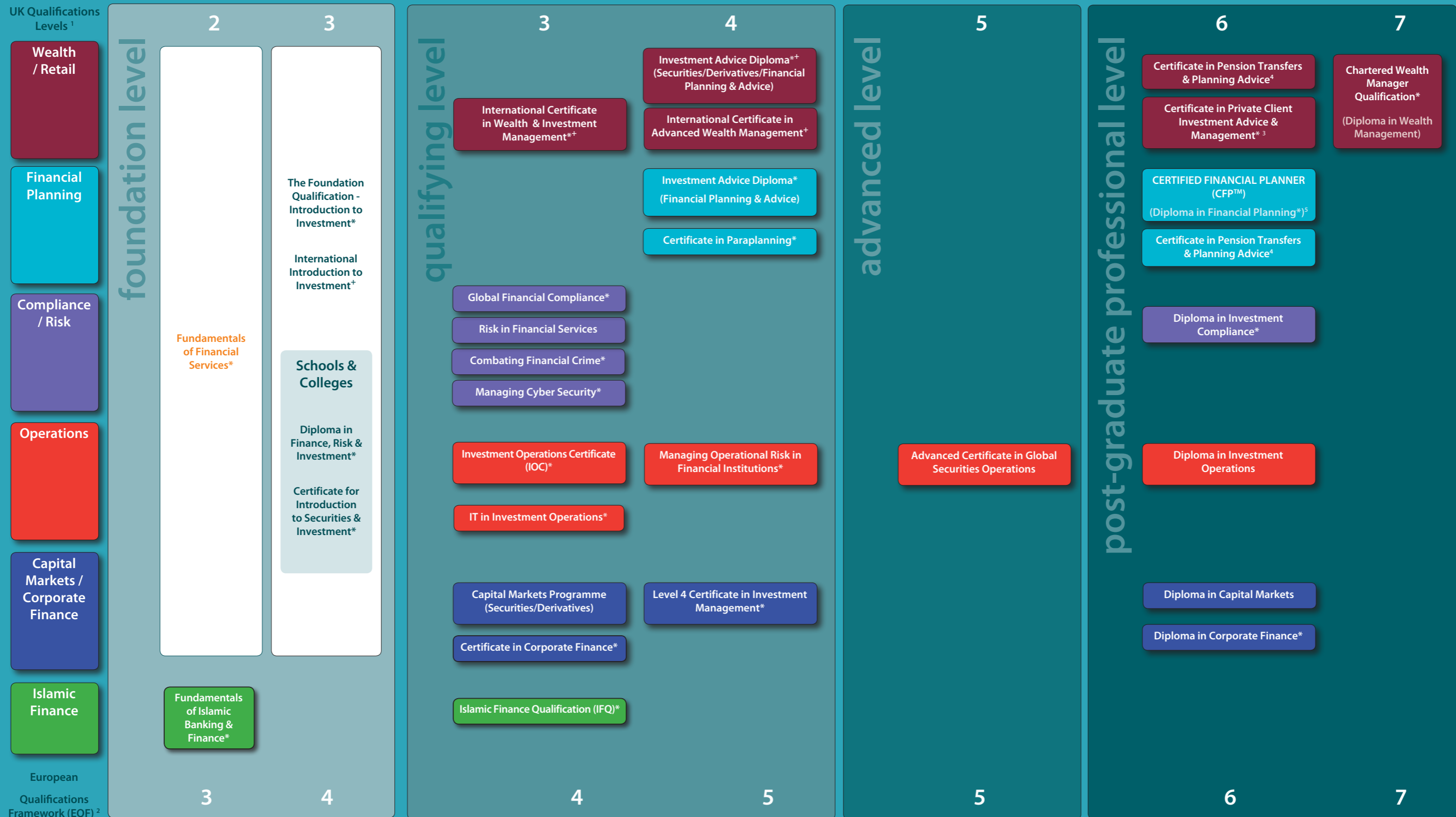


The CISI's Qualifications and Membership Framework



Membership There is a ladder of progression for members of the Institute from **Students** to **Associates** to **Members** and ultimately to **Chartered Members** and **Chartered Fellows** depending on qualifications gained

1. This row is a guide only. Qualifications which are regulated by Ofqual and appear on the Regulated Qualifications Framework (RQF) are marked*.

2. The EQF is an overarching qualifications reference framework that links the qualifications of different countries together. Qualifications that are appropriate for the European Securities and Markets Authority (ESMA) guidelines on knowledge and competence are marked +.

3. Gap-fill required for RDR/RFA.

4. The workbook for the Pension Transfers & Planning Advice exam is now available. The first exam sitting will be in December 2017.

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CISI Qualification Pathways

Our Fundamentals of Financial Services and Introduction to Investment qualifications provide a comprehensive introduction to the financial services industry with a specific focus on investments. Visit [cisi.org/qualifications](https://www.cisi.org/qualifications)

Job Area	Qualifying level	Membership	Advanced level	Membership	Professional level	Membership
Wealth/Retail						
Advising/Dealing in Derivatives	Investment Advice Diploma (Derivatives)	ACSI			Chartered Wealth Manager Qualification	MCSI
Advising/Dealing in Securities	Investment Advice Diploma (Securities)	ACSI			Chartered Wealth Manager Qualification	MCSI
Advising on Retail Investment Products	Investment Advice Diploma (Financial Planning & Advice)	ACSI			Chartered Wealth Manager Qualification	MCSI
					CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
					Certificate in Pension Transfers & Planning Advice	MCSI
Financial Analyst	Investment Advice Diploma (Any pathway)	ACSI			Chartered Wealth Manager Qualification	MCSI
Portfolio Analyst	Investment Advice Diploma (Any pathway)	ACSI			Chartered Wealth Manager Qualification	MCSI
					ICAEW/CISI Diploma in Corporate Finance	MCSI
Stockbroker	Investment Advice Diploma (Any pathway)	ACSI			Chartered Wealth Manager Qualification	MCSI
Wealth Management	Investment Advice Diploma (Any pathway)	ACSI			Chartered Wealth Manager Qualification	MCSI
					Certificate in Pension Transfers & Planning Advice	MCSI
	International Certificate in Wealth & Investment Management	International Certificate in Advanced Wealth Management	ACSI		Chartered Wealth Manager Qualification	MCSI
Financial Planning						
Paraplanner	Certificate in Paraplanning - Accredited Paraplanner (APP)	ACSI			CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
Financial Adviser	Investment Advice Diploma (Financial Planning & Advice)	ACSI			Chartered Wealth Manager Qualification	MCSI
					CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
					Certificate in Pension Transfers & Planning Advice	MCSI
Financial Planner	Investment Advice Diploma (Financial Planning & Advice)	ACSI			CERTIFIED FINANCIAL PLANNER™ Certification	MCSI
					Chartered Wealth Manager Qualification	MCSI
					Certificate in Pension Transfers & Planning Advice	MCSI
Compliance/Risk						
Compliance	Global Financial Compliance	ACSI			Diploma in Investment Compliance	MCSI
	Risk in Financial Services	ACSI				
	Combating Financial Crime	ACSI				
	Managing Cyber Security	ACSI				
Risk Management	Risk in Financial Services	Managing Operational Risk in Financial Institutions	ACSI		Diploma in Investment Operations	MCSI
Operations						
Custody	Investment Operations Certificate (IOC)	ACSI	Advanced Certificate in Global Securities Operations	ACSI	Diploma in Investment Operations	MCSI
Customer Services	Investment Operations Certificate (IOC)	ACSI				
IT Development and Support	IT in Investment Operations	Affiliate				
	Managing Cyber Security	ACSI				
	Investment Operations Certificate (IOC)				Diploma in Investment Operations	MCSI
Operations	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI	Advanced Certificate in Global Securities Operations	ACSI	Diploma in Investment Operations
Risk Management	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI			Diploma in Investment Operations
Settlements	Investment Operations Certificate (IOC)	Managing Operational Risk in Financial Institutions	ACSI	Advanced Certificate in Global Securities Operations	ACSI	Diploma in Investment Operations
Capital Markets / Corporate Finance						
Advising/Dealing in Derivatives	Capital Markets Programme (Derivatives)	ACSI			Diploma in Capital Markets	MCSI
Advising/Dealing in Financial Derivatives	Capital Markets Programme (Financial Derivatives)	ACSI			Diploma in Capital Markets	MCSI
Advising/Dealing in Securities	Capital Markets Programme (Securities)	ACSI			Diploma in Capital Markets	MCSI
Corporate Finance	Certificate in Corporate Finance	ACSI			ICAEW/CISI Diploma in Corporate Finance	MCSI
Financial Analyst	Capital Markets Programme (Any pathway)	ACSI			Diploma in Capital Markets	MCSI
Investment/Fund/Portfolio Management	Certificate in Investment Management (Level 4)	ACSI			Diploma in Capital Markets	MCSI
Portfolio Analyst	Capital Markets Programme (Any) (Level 3)	ACSI			Diploma in Capital Markets	MCSI
	Certificate in Corporate Finance	ACSI			Diploma in Capital Markets	MCSI
					ICAEW/CISI Diploma in Corporate Finance	MCSI