

▶ **CISI - DIFC Rules & Regulations Paper**

The Chartered Institute for Securities & Investment (CISI) have developed the DIFC Rules and Regulations paper in collaboration with the DFSA.

This two day exam study course provides candidates with a high level overview and understanding of the DFSA rules and regulations that govern the firms and the staff within the DIFC and effectively prepares them for the exam.

During the course, candidates will be given a series of practice questions and mock exams to successfully prepare them for the exam.

Course Highlights

- Taught by a leading CISI trainer with over 15 years experience of qualification based training
- Limited class sizes, to ensure interactive teaching environment

▶ **Who should attend?**

This course is appropriate for all staff working within the DIFC who would like to obtain a greater understanding of the DFSA rules and regulations.

This paper can be taken as a standalone qualification or part of one of the CISI's programmes.

Order your workbook & reserve your exam date

To gain maximum value from the training course, it is strongly advised that attendees read the workbook prior to attending the course.

To order your workbook and reserve your exam date you need to register with the CISI. This can be done through their [booking portal](#).

Syllabus

Element 1 - The Financial Free Zone

1.1 The Financial Free Zone

Element 2 - General

2.1 Financial Services Activities

2.2 Activity by way of business

2.3 The Principles for Authorised Firms

2.4 The Principles for Authorised Individuals

2.5 General Provisions

2.6 Complaints handling and Dispute Resolution

2.7 Transition Rules

Element 3 - Authorisation

3.1 License Application

3.2 Application to Change the Scope of a Licence or Withdrawal

3.3 Authorised Individuals

3.4 Licensed Firms

3.5 Competence

3.6 Controllers

Element 4 - Conduct of Business

4.1 Client Classification

4.2 Conduct of Investment Business

4.3 Dealing

4.4 Documentation

4.5 Client Assets

4.6 Client Money

4.7 Client Investments

4.8 Communication of Information (Insurance)

4.9 Alternative Trading System (ATS) Operator

4.10 Insurance

Element 5 - Supervision

5.1 Information Gathering

5.2 Waiver of a Provision of a Rule

5.3 Requirement to Provide a Report

5.4 Imposing Restrictions

5.5 Notifications

5.6 Reporting

Element 6 - Enforcement

6.1 Information Gathering and Investigation Powers

Element 7 - Ancillary Service Providers

7.1 Ancillary Services

7.2 Disclosure of Regulatory Status

7.3 Variation or Withdrawal of Registration

Element 8 - Anti-Money Laundering

- 8.1 Money Laundering Reporting Officer
- 8.2 Customer Identification
- 8.3 Reporting Requirements
- 8.4 Money Laundering Risks
- 8.5 Transfer of Funds
- 8.6 Awareness and Training

Element 9 - Islamic Financial Business

- 9.1 Disclosure Requirements
- 9.2 Shari'a Supervisory Board
- 9.3 Shari'a Reviews
- 9.4 Conduct of Islamic Financial Business

Element 10 - Offered Securities

- 10.1 Offers
- 10.2 Exempt Offers
- 10.3 Prospectus Offers

Element 11 - Prevention of Market Misconduct

- 11.1 Market Misconduct
- 11.2 Insider Dealing

Element 12: Collective Investment Rules

- 12.1 Application and Constitution
- 12.2 Operation and Administration of the Fund
- 12.3 Delegation and Outsourcing
- 12.4 Accounting Standards
- 12.5 Periodic Reports
- 12.6 Charges and Expenses
- 12.7 Responsibility for the Prospectus
- 12.8 Auditors
- 12.9 Specialist Funds
- 12.10 Public Funds
- 12.11 Oversight Arrangements
- 12.12 Private Funds
- 12.13 Suspension and Termination
- 12.14 Marketing and Transactions Involving Funds

Exam Structure

The DIFC Rules & Regulations paper is a two hour exam of 100 multiple choice questions. The pass mark for the examination is 70%.

CISI Fee's

Exam & Workbook - 195 GBP (payable directly to the CISI)

In addition, all new applicants will be required to pay a one-off CISI registration fee of 25GBP.

▾ Prerequisite Knowledge

Whilst no prerequisite knowledge is required for this course, attendees are strongly advised to read the CISI workbook prior to attending the course. This will help ensure attendees achieve maximum value from the training course.

To order your workbook and reserve your exam date you need to register with the CISI. This can be done through their [booking portal](#).

▾ Study Support

After attending the course, all attendees will be sent a series of practice questions to assist them with their exam preparations. In addition if you ever have a question, which you can't find the answer to, our consultants and trainers will always do their best to assist you with your queries.

Exam Format

Two-hour 100 multiple choice computer based exam.

Study Time

The CISI recommends 100 hours of study time for this unit.

▾ Delivery Methods [available methods depend on the course]

Public Course

If you only have a few staff who require a particular training course then why not send them on one of our public courses. We insist on limiting the number of attendees on our public courses to facilitate an interactive training environment. This ensures that there's always a chance to put your questions to a genuine expert, as well as to share experiences with other delegates.

Take a look at our [Future Dates/Booking](#)

Bring In-House

If you have a number of people who require the training, you might find it more economical to have the training at your offices. Our trainers are armed with all the equipment and materials necessary. All you need to do is supply the room, and after the course, we'll send your certificates of attendance in the post.

In addition in-house courses can be tailored to meet the precise needs of your business. This could mean tailoring a course for a business unit; combining elements of different courses to match your exact specification; or producing a course from scratch.

Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

Off-site Training

Our training facilities can also be used for company 'off-site training'. So if you want to have an 'in-house style' training session away from your own offices, or you simply don't have the facilities, then you can use ours.

Enquiries

Please complete [the following form](#) and we'll get in touch to discuss your requirements in detail.

▾ Trainers

Martin Mitchell

Martin has trained CISI qualifications for almost 20 years, and is one of the world's most experienced CISI trainers. He is expert at keeping his audience motivated and focused on the task, leading to exceptional success rates. Martin has run numerous courses in the UAE – he regularly tutors candidates for the International Investment Award, the DIFC Rules and Regulations examination, and other CISI qualifications including the Certificates in Investment Management, Securities and Derivatives.

Martin is a fellow of the Chartered Institute for Securities & Investment (CISI) and a qualified accountant with the Institute of Chartered Accountants of England and Wales (ICAEW). Martin qualified as an accountant with a forerunner of the global accountancy firm Ernst and Young in London, where he was involved in auditing financial institutions that subsequently became parts of HSBC, UBS and Citigroup. After qualifying, Martin started training others, initially training aspiring accountants and then moving into training in the City of London. It was during this period that Martin first started training towards the Chartered Institute for Securities & Investment examinations, introducing innovative training techniques and materials.

Martin rose to become Managing Director of a substantial City of London training entity, with a full-time faculty of 15. During his tenure, Martin also began training internationally – particularly in the Middle East and Asia.

During the internet boom, Martin became heavily involved in e-learning and developed a 'blended' learning course for the CISI's Certificate in Securities whilst working as Global Head of Content at venture capital funded firm Wide Learning.

Martin then spent two years at the Chartered Institute for Securities & Investment where he was an Associate Director and ran the publications division, the business development team and numerous train-the-trainer courses. Martin continues to be very active at the CISI, he is senior editor for a number of the CISI's official workbooks, runs train-the-trainer courses to assist in the CISI's accreditation process for training organisations, and sits on the CISI's Examination Board.
