

## ▶ **CISI - Risk in Financial Services**

This new qualification has been devised to offer staff employed within financial services a global introduction to the key risks that arise within financial services. The qualification will cover general principles of business risk, the influence of corporate governance, key international regulatory frameworks and techniques of risk management and will include operational, credit, market, investment and liquidity risks.

Risk in Financial Services has been developed in consultation with expert practitioners from leading global financial services firms, trade bodies and training providers to meet the needs of the industry.

### **Course Highlights**

#### **Exam Structure**

Two hour exam with 100 multiple choice questions.  
Pass mark - 70%.

#### **CISI Fee's**

Exam & Workbook - 215 GBP (payable directly to the SCA or the CISI)

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

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## ▶ **Who should attend?**

- Risk teams
- Compliance teams
- Branch management
- Corporate lawyers
- Finance officers
- Senior managers of all disciplines
- Existing and aspiring non-executive directors

In addition, the SCA Licensing Regime requires the following Job Functions to pass this

qualification or the Operational Risk Paper:

- Trading Manager
  - Operations Manager
  - Internal Controller
  - Financial Analyst
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## ▸ Syllabus

### **Element 1 - Principles of The Risk Management Framework**

- 1.1 Introduction to Business Risk
- 1.2 Specific Risks in Financial Services

### **Element 2 - Corporate Governance and Risk Oversight**

- 2.1 Internal Corporate Governance
- 2.2 Culture and Leadership
- 2.3 Risk Governance within Financial Services Organisations

### **Element 3 - Risk-Related Regulation and Policy in Financial Services**

- 3.1 The Bank for International Settlements
- 3.2 Basel II Regulatory Capital and Operational Risk
- 3.3 Principle-based Regulation
- 3.4 The Sarbanes-Oxley Act
- 3.5 Islamic Financial Regulation
- 3.6 Other Relevant Regulations

### **Element 4 - Operational Risk**

- 4.1 Definitions of Operational Risk
- 4.2 Operational Risk Policy
- 4.3 The Risk Management Function
- 4.4 Risk Identification
- 4.5 Operational Risk Assessment and Measurement
- 4.6 Risk Mitigation

### **Element 5 - Credit Risk**

- 5.1 The Identification of Credit Risk
- 5.2 Credit Risk Measurement
- 5.3 Credit Risk Mitigation

### **Element 6 - Market Risk**

- 6.1 Risk Affecting Financial Markets
- 6.2 The Mitigation and Management of Market Risk

### **Element 7 - Investment Risk**

7.1 The Measurement of Investment Returns

7.2 The Identification and Measurement of Investment Risk

### **Element 8 - Liquidity Risk**

8.1 The Identification of Liquidity Risk

8.2 The Measurement of Liquidity Risk

8.3 The Management of Liquidity Risk

### **Element 9 - Enterprise Risk Management (ERM)**

9.1 An Overview of Enterprise Risk Management (ERM)

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## **▸ Delivery Methods [available methods depend on the course]**

### **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.

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## ▀ 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.

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