

▶ **CISI - UAE Financial Rules and Regulations**

This two day course covers the syllabus for the Chartered Institute for Securities and Investments UAE Financial Rules and Regulations examination.

The course is structured around the examination syllabus, interspersed with questions and exercises. The course provides focused coverage of the exam syllabus, plenty of tips and techniques for dealing with the actual exam plus the opportunity to gain vital question practice.

Course Highlights

Exam Structure

One hour exam with 50 multiple choice questions.
Pass mark - 70%.

CISI Fee's

Exam & Workbook - 100 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.

▶ **Who should attend?**

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

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

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

- Trading Manager
- Broker
- Operations Manager

- Internal Controller
- Financial Analyst

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.

Both English and Arabic workbooks are available for this qualification.

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

If you taking this qualification as part of the SCA Licensing Regime please contact SCA directly for your workbook and exam registration.

Syllabus

Element 1 - The Regulatory Infrastructure

- 1.1 Federal Law No. 4 of 2000
- 1.2 Securities & Commodities Authority (SCA)

Element 2 - Associated Market and Securities Legislation and Practice

- 2.1 SCA Resolutions
- 2.2 Corporate Governance

Element 3 - Authorised Persons

- 3.1 Brokers' Regulations

Element 4 - Markets

- 4.1 General Background
- 4.2 Disclosure and Transparency
- 4.3 Market Activities
- 4.4 Listing

Element 5 - Market Conduct Legislation and Regulations

- 5.1 Anti-Money Laundering in the UAE
- 5.2 Money Laundering Legislation - accepted practice in the UAE
- 5.3 Market Abuse and Market Conduct Legislation - accepted practice in the UAE

5.4 Insider Dealing Legislation - accepted practice in the UAE

5.5 Inducements Legislation - accepted practice in the UAE

5.6 Conflicts of Interest - accepted practice in the UAE

- Taught by a leading CISI trainer with a combination of practitioner and training experience
- Limited class sizes, to ensure interactive teaching environment

► 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.
