

► CISI - Securities Paper

The CISI - Certificate in Securities is targeted at employees advising both professional and retail clients in securities.

The full Certificate in Securities consists of two separate Papers. The Regulatory Paper appropriate to the local environment (i.e. the UAE Rules & Regulations Paper or the DIFC Rules & Regulations Paper) and the Securities unit.

The Certificate in Securities syllabus focuses on key concepts and principles relating to the creation, valuation, trading and management of financial instruments, comprehensive coverage of equities, debt securities and prime brokerage including primary and secondary markets enhanced coverage of valuation and accounting analysis as well as the risk/reward relationship of investment strategies.

Course Highlights

Exam Structure

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

CISI Fee's

Exam & Workbook - 215 GBP

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

► Who should attend?

The CISI - Certificate in Securities has been developed to provide employees advising and/or dealing in securities on behalf of professional or retail clients with the knowledge and skills required for their job roles.

The CISI has recently redeveloped the Certificate Programme with the representatives from leading global financial services firms, both wholesale and retail and input from LIBA, APCIMS, AIC, FOA and Accredited Training Providers to meet the needs of the changing industry. The CISI have also ensured this qualification is globally portable addressing the needs of the modern international securities markets.

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 - Securities

- 1.1 Shares
- 1.2 Debt Instruments
- 1.3 Government Debt
- 1.4 Corporate Debt
- 1.5 Eurobonds
- 1.6 Other Securities
- 1.7 Foreign Exchange
- 1.8 Prime Brokerage and Equity Finance

Element 2 - New Issues

- 2.1 The Primary and Secondary Markets
- 2.2 Stock Exchanges
- 2.3 The London Stock Exchange (LSE)
- 2.4 AIM
- 2.5 Listing Securities
- 2.6 Bond Offerings
- 2.7 Share Capital and Changes to Share Ownership
- 2.8 Corporate Actions

Element 3 - Primary and Secondary Markets

- 3.1 Methods of Trading and Participants
- 3.2 Transaction Reporting
- 3.3 LSE - UK Equity
- 3.4 LSE - The International Equity Market
- 3.5 Other Equity Markets
- 3.6 Government Bonds
- 3.7 Corporate Bond Markets
- 3.8 Dealing Methods
- 3.9 Market Data
- 3.10 Regulatory Information and Financial Communications

Element 4 - Settlement

- 4.1 Settlement

Element 5 - Special Regulatory Requirements

5.1 Takeovers and Mergers

5.2 Disclosure of Interests

5.3 Specific Regulations in the US, Canada and Japan

Element 6 - Accounting Analysis

6.1 Basic Principles

6.2 Company Balance Sheets

6.3 Income Statements

6.4 Cash Flow Statements

6.5 Financial Statements Analysis

Element 7 - Risk and Reward

7.1 Investment Management

7.2 Institutional Investment Advice

Study Programme Highlights

- 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.
