

CISI ACCREDITED
CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT TRAINING PARTNER
2024 - 25

GLOBAL FINANCIAL COMPLIANCE

GLOBALLY PORTABLE SPECIALIST QUALIFICATION
SUITABLE FOR ALL COMPLIANCE OFFICERS

The Institute of Internal Auditors Quantum KAP ACM ACADEMY OF FINANCE The Gurus of Financial Wisdom CMA (Australia) The Institute of Certified Management Accountants Australia

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Agenda

- Introduction - Academy of Finance & CISI
- Global Financial Compliance
- Learning content of the programme
- Assessment mechanism
- Financial commitment
- Code of conduct
- Get to know - Module facilitator
- Get to know – Colleagues who have succeeded
- Get to know - Academy of Finance staff
- Get to know – Colleagues in the class
- The way forward

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STAY AHEAD
IN A CHANGING FINANCIAL LANDSCAPE

BE PREPARED FOR TOMORROW'S COMPLIANCE CHALLENGES!

DURATION **05** MONTHS

- WORLD WIDE ZOOM classes
- Online exams

ACADEMY OF FINANCE The Gurus of Financial Wisdom

Financial services sector is evolving, and so are the risks. Learn how to manage them effectively with the CISI qualification. Our comprehensive course covers international regulations, risk management, ethics, and more.

ACADEMY OF FINANCE The Gurus of Financial Wisdom

DURATION **05** MONTHS

WORLD WIDE ZOOM classes Online exams

More info : 077 710 2449

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What is CISI?

Chartered Institute of Securities & Investments

- The CISI is the largest and most widely respected professional body for the securities and investment profession in the UK and financial centers globally.
- Formed in 1992 by London Stock Exchange.
- CISI has a global community of 45,000 members in over 100 countries.

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SRI LANKA

CISI is completing 13 years in Sri Lanka

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Ms Tracy Vergo OBE, the CEO of the Chartered Institute for Securities & Investments Who joined us at the CMA ANZ qualifying programme.

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GLOBAL CENTERS FOR CREATING WEALTH - LONDON

London is the world's most international and connected financial centre, providing unrivalled access to global markets. It is a magnet for workers from around the world, who make up a diverse pool of specialists, with deep human linkages to virtually every economy globally.

CISI was born through London Stock Exchange.



INTERNATIONAL CERTIFICATE IN WEALTH & INVESTMENT MANAGEMENT (ICWIM)

Candidates upon completion are eligible to use **ACSI** designation

More info: +94772 840 850
yameera@academy.lk

JOIN THE NEXT INTAKE MARCH
Duration : 5 Months





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RISK IN FINANCIAL SERVICES



The Essential Qualification for Tomorrow's Risk Practitioner

CISI Risk in Financial Services qualification is a comprehensive global introduction to major risk areas in financial services which provides a sound grounding in Principles of the risk management framework & Corporate governance, and risk oversight.

Combination of the CISI modules will make you eligible for a practicing license under the UAE Securities & Commodities Authority Licensing Regime (SCA).

Completed candidates can become **CISI Associate Members** and use the **ACSI** designation.

JOIN THE NEXT INTAKE APRIL DURATION : 5 MONTHS






More info: 076 319 3473
Suresh.motha@gmail.com

WORLD WIDE ZOOM classes
Online exams



WHO SHOULD STUDY?

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

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Academy of Finance

Founded fifteen years ago with the vision of

Empowering the next generation professional with financial wisdom




Mission

- Training and enriching non-finance professionals to become finance savvy and,
- Providing development opportunities and higher qualifications for finance professionals.

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Introduction

KAPILA DODAMGODA

Founder/Managing Director - Academy of Finance
 Regional Director – ICMA Australia (Sri Lanka)
 Former Finance Director of MAS Investments

MA Economics
 FCMA, CGMA
 Fellow CMA(Australia)
 B Sc Engineering
 AMIESL, MCIM
 MCSI



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What Global Financial Compliance Qualification?


- CISI Global Financial Compliance qualification provides a comprehensive introduction to all the issues a global compliance officer may encounter.
- It addresses techniques used to implement successful compliance functions in organisations.
- The qualification further addresses international issues including the international regulatory environment, managing the risk of financial crime, governance, risk management, ethics, integrity and fairness.








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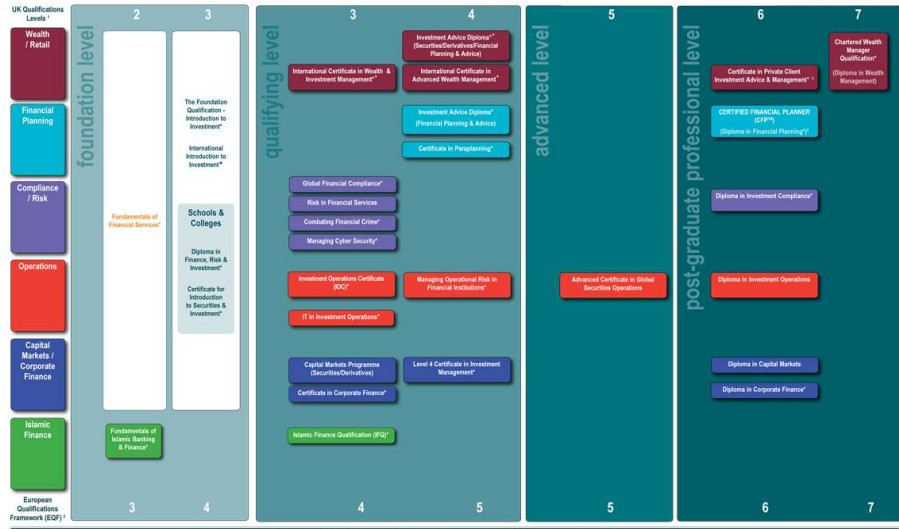
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The CISI's Qualifications and Membership Framework 2017



UK Qualifications Levels

- Wealth Retail
- Financial Planning
- Compliance / Risk
- Operations
- Capital Markets / Corporate Finance
- Islamic Finance





The diagram shows a progression from 'foundation level' (levels 2-3) to 'qualifying level' (levels 3-5) to 'advanced level' (levels 5-7) and finally 'post-graduate professional level' (levels 6-7). It lists various certificates and diplomas such as 'International Certificate in Wealth & Investment Management', 'Investment Advice Diploma', 'Global Financial Compliance', 'Risk in Financial Services', 'Managing Operational Risk', 'Advanced Certificate in Global Securities Operations', 'Diploma in Investment Compliance', 'Diploma in Investment Operations', 'Diploma in Capital Markets', and 'Diploma in Corporate Finance'.

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 Uqal 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 RQF/URA.

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Practicing License – UAE SCA


Job Function




- Director/ Head of Category
- Chief Compliance Officer
- Chief Risk Management Officer
- Head of Compliance
- Head of Risk Management
- Operation Manager
- Investment Operation Manager
- Trading Manager
- Broker Representative

Exams Required for SCA Licence	Continuous Professional Development	
UAE Financial Rules and Regulations		
UAE Financial Rules and Regulations	Combating Financial Crime	Introduction to Securities & Investment (International) → Global Financial Compliance
UAE Financial Rules and Regulations	Risk in Financial Services	Introduction to Securities & Investment (International) → Operational Risk
UAE Financial Rules and Regulations	Combating Financial Crime	Global Financial Compliance
UAE Financial Rules and Regulations	Risk in Financial Services	Combating Financial Crime → Derivatives
UAE Financial Rules and Regulations	Global Securities Operation	Introduction to Securities & Investment (International) → Operational Risk
UAE Financial Rules and Regulations	Global Securities Operation	Introduction to Securities & Investment (International) → Risk in Financial Services
UAE Financial Rules and Regulations	Fundamentals Of Financial Services	Derivatives
UAE Financial Rules and Regulations	Fundamentals Of Financial Services	

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Who Should Study?

This qualification is aimed at;

- Compliance staff in banks and finance companies
- Corporate compliance officers
- Auditors
- Corporate lawyers
- Existing & aspiring non-executive directors











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What are the Module Contents?

1. The international regulatory environment
 - Models of regulation
 - The international approach to regulation
2. The compliance function
 - International best practice
 - The role of the compliance function within a firm
 - Managing regulatory relationships
3. Managing the risk of financial crime
 - Money laundering
 - Terrorist financing and the standards required of firms
 - Practical implications
 - Policies, procedures and controls required of firms



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What are the Module Contents?

4. Ethics, Integrity and Fairness
 - Ethics
 - Market integrity
 - Fair conduct
 - Fair dealing
5. Governance, risk management and compliance
 - Corporate governance
 - Key risk types, their application and impact on the compliance function
 - Compliance risks







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CISI Supporters..















































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SHANE GODWIN

Shane Godwin is the Head of Financial Crime for HSBC Singapore and is responsible for leading a team of subject matter experts providing financial crime risk stewardship, advisory and investigations.

Prior to joining HSBC Singapore, he held various senior roles including the Chief Compliance officer for HSBC, Sri Lanka, Maldives and Philippines. He has over 20 years of banking experience covering Retail Banking, Commercial banking, Financial Crime Risk management, Risk Assurance, Remediation Regulatory compliance, and Regulatory affairs.

He has experience in deploying Compliance and Regulatory Transformation projects, FCR policy implementation, FCR testing and Remediation projects and has worked very closely with the local regulators and law enforcement teams in his capacity as Chief Compliance officer/MLRO providing input to draft regulations, supporting with money laundering investigations and assisting with reg tech projects. He lectures on topics relating to financial crime risk and Compliance. He is a Certified AML specialist (CAMS).






Chief Compliance Officer
HSBC Singapore



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PRASANNA KARIYAWASAM

Mr Prasanna Kariyawasam is a multidisciplinary professional with strong academic backing and having years of hands on experience in managing high end services, together with diversified exposure to highly regulated financial services industries international and local, including data management, accounting, legal, leasing, compliance reporting. He has held many management roles in banks and BPOs.


He is a holder of Master of Business Administration (MBA) from the University of Colombo and Bachelor of Science (BSc) degree from the University of Kelaniya together with the professional qualifications from CIMA UK as an Associate Member of the Chartered Institute of Management Accountants (ACMA), Chartered Global Management Accountants (CGMA) and he is a fully qualified Attorney-at-Law from the Sri Lanka Law College.

Prasanna is having over 12 years of lecturing experience for undergraduate programs for North Wood University (US) and Monash (Australia) with excellent rating recorded in every programme.





Former
Country Data Manager of HSBC
Sri Lanka and Maldives
Current - Australia



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Global Financial Compliance

**FIRST BATCH TO QUALIFY
CISI GLOBAL FINANCIAL
COMPLIANCE 100% Pass Rate**

 Buddika Heeriyamullage Managing Director Alliance Management System (Pvt) Ltd	 Sagara Hemal Vitharana Executive - Compliance HBC Bank of Sri Lanka	 Dhanusha Weerasuriya Executive - Travels & Money Transfer Department - City Office Hutton National Bank PLC	 Venishiya Wickramatunge Assistant Vice President HSBC
 Vishmi Pathirana Prym Intimates Lanka Finance Executive	 Sathya Jayawardene Senior Manager - Risk & Control - Expatanka Holdings PLC	 Surantha Jayatilake Nations Trust Bank Assistant Vice President Internal Audit.	 Anne Denis Executive Compliance Amana Bank PLC



The Gurus of Financial Wisdom

Contact us to join the next intake

+94 772 840 850 yameera@academy.lk



We wish you all the best for your future endeavors.









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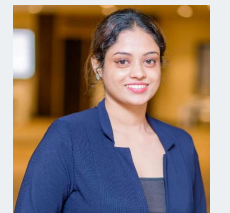
Get to know Academy Staff








Pavithra



Yameera






Chapa

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Get to know Academy Staff



Himali **Upeksha** **Harshani**



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Get to know Academy Staff




Madhavi **Renuka**


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What is the assessment mechanism?




Computer based examination


- Two-hour paper
- 100 multiple-choice questions
- Pass mark of 70%




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Academy of Finance Study Package






- CIS Official Text
- Virtual Classes – Minimum 50 hours
- Access to Recorded Sessions
- Mini Quizzes from the beginning
- Revision Portal with Topic-wise Quizzes
- Three Mock Examinations at the end

Class Timing Wednesdays - 6.30 pm to 9.00 pm

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How much is the cost of CISI Examinations?

- CISI Registration Fee
£ 25
- CISI Examination Fee (Sri Lanka)
£ 190




Fees subject to change by 31st March 2025

Completion time **5** Months














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Academy of Finance Letter of Participation

- Minimum attendance of 75%
- Participation in all three Mock Examinations
- Minimum 50% marks for the Mock Examinations

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Code of Conduct

Expected from the participants

- Join the session on time and be present throughout
- Be present with the video on
- Free to ask question, seek clarifications and discuss


















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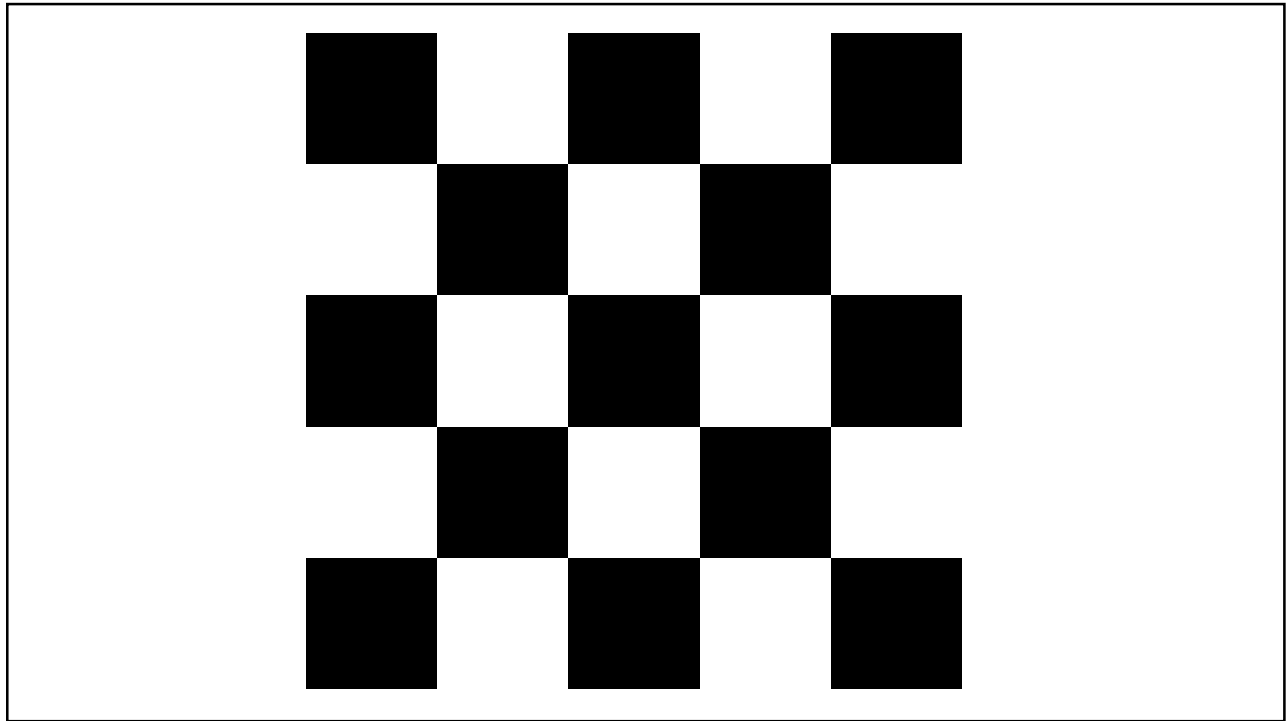


What we expect from you?

- Attendance
- Join the class on time
- Interact with the lecturer and ask questions
- Do quizzes from the beginning
- Do all the Mock Examinations
- Sit for the examination within the prescribed window

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Get to Know Your Class

- Your Name,
- Place of Work
- Designation

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What is the next step?

- Those who have not registered yet
Please get in touch with us for registration
- Those who have completed registration
Please get in touch for access to e-learning


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Questions and Answers



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THE JOURNEY BEGINS

- Registration with the CISI – April 2025
- Examination window – May 2025

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ACADEMY OF FINANCE
The Gurus of Financial Wisdom

THANK YOU

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