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Global Financial Compliance

What is Global Financial Compliance?

A successful compliance function is a fundamental requirement for any effective business; in financial services it is a critical component.

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

Who should study Global Financial Compliance?

Suitable for all compliance staff and will be especially relevant to Compliance Officers.

Ofqual approval

Global Financial Compliance is regulated by Ofqual (on its Regulated Qualifications Framework) as the level 3 Award in Global Financial Compliance. On the European Qualifications Framework, this equates to a level 4 qualification. For further information visit cisi.org/eqf

The Total Qualification Time for this qualification is 102 hours.

Global Financial Compliance, combined with a regulatory paper, is recognised by Ofqual as the level 3 Certificate in Global Financial Compliance. The Total Qualification Time for this qualification is 183 hours.

Visit <https://register.ofqual.gov.uk/>

Key features

- **Specialist qualification** – covers all the key aspects of compliance
- **Globally portable** – addresses international issues, reflecting the needs of a worldwide market
- **Flexible study options** - can be taken as a stand-alone qualification or combined with other units to achieve the full Certificate in Global Financial Compliance or Investment Operations Certificate (IOC)
- **Free CISI Student membership** - become associated with a chartered professional body and take advantage of an extensive range of benefits
- **ACSI designatory letters**
- Exams available online via **remote invigilation** or at one of our **global test centres**

"I believe this qualification will go a long way in establishing Compliance as a distinct functional area within the financial sector. A recognition which is long overdue despite the accepted importance of the function."

Waheed Rathore MCSI, Executive Vice President, Group Chief Compliance Officer & MLRO
Risk Management Group, Abu Dhabi Commercial Bank

How is the qualification structured?

Global Financial Compliance can be taken as a stand-alone award. It can also be taken with one of the following regulatory exams:

- UK Financial Regulation
- Local regulatory paper (for international candidates)

Upon successful completion of Global Financial Compliance and a regulatory paper, candidates will be awarded the Certificate in Global Financial Compliance. The Global Financial Compliance exam also qualifies as an IOC technical unit.

Syllabus

1. The International Regulatory Environment
2. The Compliance function
3. Managing the risk of financial crime
4. Ethics, Integrity and Fairness
5. Governance, Risk management and Compliance

To view the full syllabus visit [cisi.org/gfc](https://www.cisi.org/gfc)

Studying for the Global Financial Compliance

Global Financial Compliance: 100 hours UK Financial Regulation: 80 hours

You can choose to self-study for the exams using CISI learning manuals and elearning or have formal training with one of our Accredited Training Partners (ATP). To find an ATP near you visit, [cisi.org/atp](https://www.cisi.org/atp)

The CISI's learning manual policy requires, where available, the most up-to-date CISI learning manual to be purchased when booking an exam, including by an ATP on your behalf. This applies to all candidates sitting CISI exams in the UK (includes Northern Ireland, Guernsey, Jersey and Isle of Man). Candidates sitting CISI exams outside of the UK will receive the most up-to-date learning manual for that subject in PDF format and this is included in the international exam price.

Candidates who are not currently CISI members receive one year's free CISI Student membership and enjoy access to a number of benefits. Visit [cisi.org/membership](https://www.cisi.org/membership)

Assessment

Global Financial Compliance: Two-hour paper consisting of 100 multiple-choice questions.
UK Financial Regulation: One-hour 30 minutes paper consisting of 75 multiple-choice questions

Exams can be taken remotely or at one of our Computer Based Testing (CBT) centres. Visit [cisi.org/cbt](https://www.cisi.org/cbt) to find your nearest test venue and [cisi.org/remotexams](https://www.cisi.org/remotexams) to find out more about sitting remotely.

Book your exam

Online – [cisi.org/agso](https://www.cisi.org/agso)
 By phone – +44 20 7645 0777
 Via email – customersupport@cisi.org

Don't forget to set your results preferences afterwards at [cisi.org/resultsdashboard](https://www.cisi.org/resultsdashboard)

Visit [cisi.org/prices](https://www.cisi.org/prices) for current prices

Next steps

CISI Membership

Obtaining Global Financial Compliance entitles candidates to join the Institute at Associate level and utilise the designatory letters, ACSI. As a member of the Institute, you will enjoy the recognition of being a professional in a world of increasing competition.

The extensive continuing professional development (CPD) opportunities available through the CISI's suite of membership benefits ensures financial services practitioners can maintain competence and meet the requirements of firms and the regulator. Visit [cisi.org/membership](https://www.cisi.org/membership)

Further CISI Qualifications

Investment Operations Certificate (IOC)

The Global Financial Compliance exam also forms part of the CISI's globally recognised IOC. Once you have successfully passed the exam you can progress your studies by completing another two units to achieve the full IOC qualification. Visit [cisi.org/ioc](https://www.cisi.org/ioc)

Diploma in Investment Compliance

This qualification equips candidates with the knowledge and understanding of the financial services regulatory environment and the confidence to enforce regulatory compliance within their firm. Visit [cisi.org/dipic](https://www.cisi.org/dipic)