

Chartered Institute for Securities & Investment
Online CPE course list 2025

No	Course Name	Course Description	Duration (Hours)*	Category
1	Accounting Fundamentals	This module is designed to provide an insight into the basic elements of accounting, and it has been written to help in the interpretation of company accounts. The module constitutes an introductory overview to demystify accounting jargon, and assumes no prior knowledge.	0.75	Securities (General)
2	Active vs Passive Investing	This module covers what active and passive investing are, and examines examples of the techniques that investors can apply, their benefits and limitations, and which are most suitable for investors. It will also look at the active versus passive debate, which today remains one of the most divisive issues in the world of investing.	1.25	Securities (General)
3	Alternative Investments	Alternative investments are investments that specialise in asset classes other than equities, bonds, property and cash. This module will consider these asset classes and alternative investments.	1	Securities (General)
4	Analytical Skills for Business	Data analytics helps companies make sense of the past, predict future trends and behaviours, and make informed choices based on what the data is telling them. This module examines the advantages of data analytics, how businesses use data analytics, the analytics process, the benefits and value of business analysis, how it is conducted, the analytical skills needed, real-world application, and how data analytics is all brought together.	1.5	Securities (General)
5	Applying the Financial Planning Process to Client Circumstances	It is one thing knowing about the financial planning process, but another thing entirely to implement it in your business. The aim of this module is to help you apply the financial planning process and principles when creating a financial plan for a client. The introduction of the new Consumer Duty by the FCA also means planners have to proactively assess and evidence the extent to which and how they deliver good consumer outcomes – this includes ensuring their advice services meets the needs, characteristics and objectives of clients in their identified target market. A detailed understanding of the Consumer Duty is outside the scope of this module so students who wish to understand more can review the relevant module.	1.25	Securities (General)
6	Artificial Intelligence (AI)	The hopes and fears sparked by artificial intelligence (AI) have raised it to an almost mythical status. Some foresee a widespread loss of jobs and the apocalyptic emergence of hostile robotic consciousness, while others dream of a tailor-made world, where every thankless or repetitive task is delegated to machines, and infallible tools put an end to illness and crime. Additionally, this module also looks at some of the ethical questions raised by AI.	1.5	Securities (General)
7	Behavioural Finance	This module explores the background to behavioural finance, the role of biases and mental 'rules of thumb' (known as heuristics) in decision making, the regulator's perspective and its implications for investors and financial advisers.	1	Securities (General)
8	Blockchains	Blockchain technology has grown rapidly over the past few years, in part fuelled by an explosion of innovative thinking in areas in which it could be used. This module describes blockchains and investigates its value drivers and the potential areas of impact on the financial markets.	0.75	Securities (General)
9	Bonds Essentials	A bond is usually issued by a government/government agency or a company and is a way for them to raise capital. Investors effectively lend them money and receive interest in return. This module introduces you to the world of bonds and helps you to familiarise yourself with the main types of bonds and key terminology.	0.5	Securities (General)
10	Corporate Actions	A corporate action is any action taken by a company – generally approved by its board of directors and authorised by its shareholders – that has a material impact on the company, its shareholders, and debtholders. Simply put, a corporate action is typically either a benefit distribution or a stock event. Most corporate actions have some effect on the share price with many conveying information to the market about the state of the company. This module provides an understanding of corporate structure and finance, the life cycle of an event and mandatory and voluntary events.	0.75	Securities (General)
11	Cryptocurrencies	Cryptocurrencies exist as both an intangible, and in some cases, unbacked source of wealth and a minable, finite asset, the full potential and risks of which remain to be seen. In this module, we explore what a cryptocurrency is, how and if they can be adequately regulated, how they are traded and what role they might play in the future.	2.25	Securities (General)

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12	Data Analytics	The ability to affordably store and easily access large quantities of data has only become possible in the past couple of decades. This has coincided with a huge increase in the amount of data society generates – but how should it be analysed in order to draw useful conclusions? The sheer quantity and continuous increase in all forms of data can become overwhelming. This is where data analytics comes in, using sophisticated statistical and mathematical techniques, run on powerful computers and applied to extremely large datasets. This module examines what data analytics is and how it is used, its main categories and most popular techniques and how it differs from traditional research.	1	Securities (General)
13	Data Science	The digitalisation of business operations has accelerated the speed with which data is being captured. This has made it necessary for firms to harness the value of vast amounts of data, which is where data science comes in. In this module, we will explore the role of data science in the financial services sector and beyond.	1	Securities (General)
14	Data: Big Data	The financial services sector has always been a data-intensive industry, and the rise of big data presents challenges to financial institutions as to how they collect, store, use, interpret and monetise this information. In this module, we will look at the impact of big data across business lines, from asset management and securities trading, to payments, consumer credit, insurance and much more. We will also examine privacy concerns, and the regulations to address them.	1	Securities (General)
15	Digital and Mobile Banking	In this module, we will explore the revolution in saving, borrowing and making payments which has occurred in the last two decades, as well as the broad categories of platforms and their uses. We will look at some of the players who have introduced important innovations or become dominant in the rapidly evolving space of digital and mobile banking.	1.25	Securities (General)
16	Disaster Recovery	Being able to continue operating your business following a major event or a disaster, such as an act of terrorism or of nature, or even after just a significant upheaval, such as software failure or a utility outage, is a key concern for most financial services firms, and regulators. The COVID-19 pandemic has shown how quickly the operational landscape can change and it has greatly challenged firms. This module provides an introduction to disaster recovery, and related concepts such as business continuity and operational resilience. It also outlines the key components of robust plans that are needed for organisations to remain operational following events that could significantly disrupt the flow of business.	1.5	Securities (General)
17	Economic Factors and Bonds	The international bond market is the largest securities market in the world and sits at the heart of the debt capital markets (DCM). This module looks at general aspects of bonds and examines some of the economic factors that affect the bond market and its operation, the structures, the strategies and the returns that exist within the overall marketplace.	2.5	Securities (General)
18	Equity Release	Equity release has the reputation of being the option of last resort for liquidity in later life. Despite a need for such a product there still seems to be some stigma surrounding it. With an ageing population and significant wealth tied up in property, the need for liquidity continues to grow and is being met by a modern market of flexible and transparent equity release products. This module examines the development of the market in terms of customers, products, providers and regulatory oversight.	1.5	Securities (General)
19	Exchange Traded Funds	Exchange traded funds (ETFs) are investment vehicles listed and traded on stock exchanges. ETFs most commonly track a basket of assets, such as equities, commodities or bonds, but may also follow more exotic factors such as volatility. Most ETFs are benchmarked against a recognised index that is reflected in the underlying assets included within the ETF. This module explores the definition, background and structure of ETFs, the different types available, the ETF market, and future developments.	0.75	Securities (General)
20	Financial Modelling	A financial model is a mathematical representation of how a company works. It is used to forecast financial performance, provide direction and give context to uncertainty. This module examines the key aspects of financial modelling such as valuation and value investing, the basics of accounting and financial statement analysis, including the tools that can be used.	1.75	Securities (General)

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No	Course Name	Course Description	Duration (Hours)*	Category
21	Financial Planning	Financial planning plays a significant role in helping individuals get the most out of their money. This module is intended to provide an introduction to the principles of financial planning. It provides an overview of the financial planning process, key pieces of terminology relating to the process and the regulatory framework which governs it.	1.5	Securities (General)
22	Financial Planning Assumptions	This module is intended to guide making assumptions as part of the financial planning process. It aims to show why assumptions are important, outline the key range that may need to be included in a financial plan, and suggest certain methods by which a financial planner could decide on the value to use for each one. The purpose of this module is not to state what the actual assumptions should be but, rather, to suggest a reliable methodology for choosing them.	2.25	Securities (General)
23	Financial Planning Cashflow Projections	When creating financial plans for clients, cashflow planning often needs to take place to give an overall view of their circumstances and future aspirations. It is an important component in establishing whether clients can afford to achieve all of their objectives as they arise, given their risk appetite. This module examines cashflow modelling, the key aspects of the process, areas of advice where it is used, and its drawbacks and benefits.	2.25	Securities (General)
24	Financial Planning Personal Financial Statements	When creating financial plans for clients, it is important to understand the purpose of personal financial statements: client net worth, tax and cashflow/income and expenditure. This module examines how to create and calculate these statements for clients and mitigate any tax consequences of the advice that is given in the financial plan.	2	Securities (General)
25	Financial Planning Personal Risk Management Strategies	Protection is essential because it offers not only tangible benefits in the form of a potential financial payout, but also intangible benefits, such as peace of mind and a feeling of financial security. Putting the right personal risk management strategy in place can help make sure you get the protection that works best for you. This module will outline the importance and methods of creating a strategy, as well as the key types and features of policies.	1.75	Securities (General)
26	Financial Planning Trade-Offs	This module considers the type of trade-offs that people might make in their everyday lives, how they relate to client objectives and needs, and how they may be required in various financial planning scenarios. It will also examine the options available when client objectives are not achievable.	2	Securities (General)
27	Financial Risk	A financial risk can be described as an element of uncertainty affecting financial decisions or actions that, should it materialise, poses a threat of loss to some degree. The exposure to a risk is determined by the probability of a risk event materialising and the magnitude of any associated financial loss. This module provides an understanding of financial risk, the key risk categories, risk in the financial services and how it's managed, risk appetite, fraud and theft, information security, and business continuity.	0.75	Securities (General)
28	Fintech	The emergence of FinTech marked a convergence of technology and the finance sector. From its nascent origins in the aftermath of the Global Financial Crisis of 2007-2008, FinTech gradually evolved into greater maturity, with some successful start-ups becoming listed companies themselves. The module examines the evolution of the FinTech sector into its current form, and poses questions about its challenges ahead in the future.	1.5	Securities (General)
29	Fintech and Regulatory Compliance	This module will explore applying regulatory compliance to Fintech. It will examine the main risks and issues and offer some best practice approaches that can be applied when developing or implementing new technology.	2.25	Securities (General)
30	Foreign Account Tax Compliance Act (FATCA)	The Foreign Account Tax Compliance Act (FATCA) is a US law that aims to reduce tax evasion by US citizens holding assets abroad. FATCA requires non-US financial institutions, known as foreign financial institutions, to report annually about their US account holders to the US tax authority, the Internal Revenue Service (IRS). This module provides an understanding of FATCA, its implementation timeline, reporting, compliance and due diligence requirements. It is designed for educational purposes only and does not constitute tax, investment or legal advice.	1	Securities (General)
31	Fund Governance	Fund governance is the high-level set of principles and guidelines by which a collective investment scheme should be managed or operated. This module explores the industry landscape, liquidity and product management, global regulatory frameworks and the implications for operational resilience.	1.75	Securities (General)

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32	Hedge Funds	A hedge fund is an investment fund typically set up under a limited partnership or limited company that pools capital from a number of investors to invest in securities and other instruments. This module examines the definition and background of hedge funds, the different types available, their inherent risks, why and how they should be used, and future developments.	1	Securities (General)
33	Impact of Personal & Political Drivers on the Financial Planning Process	This module examines what financial planning is, and the impact that political and economic factors, regulations, ethical considerations and innovations have on it.	2.5	Securities (General)
34	Introduction to Corporate Finance	There is no single definition of corporate finance, however it relates broadly to transactions, activities, management and techniques associated with allocating capital. These may include funding new businesses, acquisition and divestment of businesses or assets and cash management. This module expands on some of the various tools, techniques and related subject matter associated with corporate finance.	2	Securities (General)
35	Introduction to Financial Planning	Financial planning helps individuals realise their life goals. It looks at all the elements of a person's finances, then comes up with a plan to help them make informed decisions about their future. This module is an introduction to the subject, covering the key aspects of the six-step process, the role of the financial planner, client attitudes to risk and the impact of technology.	1	Securities (General)
36	Introduction to Financial Services	Financial Services are the lifeblood of any modern economy and allow domestic and international financial activities to be carried out with security and confidence. This module will serve as an introduction to the key concepts of financial services around the world and outline how they are regulated, what the future might hold for them, and more.	2	Securities (General)
37	Introduction to Portfolio Creation	This module examines how and why it is important for firms to gather customer data, the process involved in developing, implementing and reviewing portfolios, how environmental, social and governance (ESG) and ethical issues can be incorporated into an investment strategy, and the ways in which portfolios can be evaluated.	2	Securities (General)
38	Introduction to Python	Python is one of the most popular programming languages in the world, and is used in everything from building websites and software testing to machine learning. This module provides a basic introduction to Python.	1.25	Securities (General)
39	Investment Planning	This module provides an understanding of risk, asset allocation and classes, charges, investment types, principles, and theories, ways to invest, ratios, and of how to bring them all together when considering investment planning for a client.	2	Securities (General)
40	Investment Principles and Risk	This module examines investment management and styles, diversification, charges, pricing, and returns, fact find and risk profiling, portfolio theory, socially responsible investment, collectives, debt securities, investment bonds and trusts, ISAs, National Savings, unit trusts, OEICs, UCITS, REITs, ETFs, and equities.	2.25	Securities (General)
41	Investment Product Lifecycle and Technology	In an ever-evolving financial services sector, the convergence of finance and technology has revolutionised the way investment products are designed, developed, marketed and managed. This module explores the relationship between investment products and technology across the entire lifecycle. It will provide an understanding of how emerging technologies, such as artificial intelligence (AI), blockchain, machine learning (ML), and data analytics are reshaping investment product development and management.	1.75	Securities (General)
42	Machine Learning	Machine learning (ML) – a subset of artificial intelligence (AI) – has implications for almost every facet of public life, including finance and the financial sector. It can manifest and be applied in a multitude of ways, and this module will explore its basic concepts, as well as what it might mean for the future.	1.5	Securities (General)
43	Macroeconomic Environment	This module focuses on understanding global economic trends and the impact of macroeconomic variables on financial markets. As this module is broad in coverage, and given the variations in global economic and demographic data, independent research is encouraged for a deeper understanding of specific countries.	2	Securities (General)
44	Managing Operational Risk	Financial institutions and global regulators are having to pay greater attention to identifying, measuring, monitoring and managing risks within the financial system. Operational risk is the risk of loss resulting from inadequate or failed processes, people and systems or from external events. This module will explore the main types of operational risk, how they can be mitigated, and the hazards that organisations might face in the future.	1.25	Securities (General)

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45	Mathematics for Finance	Mathematics forms the foundation for analysing and modelling various aspects of the world. In finance and economics, it underpins the intricate workings of global stock markets, investments and economic phenomena. Suitable for both new industry entrants and existing professionals, this module serves as a comprehensive guide to basic key mathematical concepts relevant to finance. Each topic is standalone, allowing you to focus on specific areas of interest or need.	1.75	Securities (General)
46	Mergers and Acquisition	Mergers and acquisitions (M&A) is an umbrella term that encompasses the process of combining two or more separate companies to form a larger, consolidated, and, hopefully, more valuable one. There are many different types of deals which generally fall into the broad category of M&A – this module will consider the most common.	1.5	Securities (General)
47	Open Banking and Finance	Open banking enables consumers to achieve an all-round, single platform view of all their bank accounts, allowing for easier comparison and switching, and for fintech providers to offer them innovative products and services to maximise their finances. Open finance is the next step in this process of liberating and sharing data as it extends the principles behind open banking to a much wider range of financial services products. This module examines open banking and open finance, assessing the advantages, the risks, and the latest UK and international developments. Any examples of products and services are given for educational purposes only and do not represent an endorsement.	1.25	Securities (General)
48	Payment Technologies	Payments, and the technology that supports them, are essential requirements to ensure the smooth operation of the global economy. This module covers payment technology, examines the size and importance of the industry, provides an overview of the main predicted trends and looks at the growing use of new technologies such as digital assets and distributed applications.	1.5	Securities (General)
49	Portfolio Stress Testing	Portfolio stress testing against significant historical market events, or using invented scenarios, may help identify and quantify risks. It can help reassure the portfolio or risk manager as to how the portfolio might respond to specific market outcomes or other concerns. This module examines stress testing of a portfolio of conventional assets against market risks. It includes a definition of stress testing and a classification, as well as practical examples. The stress-testing methodologies explored include both 'historical' and 'hypothetical' stress tests. Examples are used to illustrate key concepts, drawing out the strengths and weaknesses of stress testing.	1.25	Securities (General)
50	Risk Management	Risk management is the structured approach used to identify, assess, mitigate and monitor all risks that an organisation faces. This module defines what risk is, assesses the different categories that a firm could face, and examines the key steps in the risk management process and the three lines of defence model.	1.5	Securities (General)
51	School Fees Planning	Given the importance that education plays throughout childhood and adulthood, it should come as no surprise that many parents are willing to pay a premium to ensure their children get the best education available. This module is intended to help financial planners identify and address the requirements of clients who are seeking school fee planning advice.	2.25	Securities (General)
52	Securities Financing	Securities financing is the practice of firms or investors using the lending of securities such as shares or bonds as a vehicle for accessing capital or earning income. This module examines stock borrowing and lending, the activity and life of a loan, the restrictions on borrowing and lending, legal ownership aspects, repurchase agreements, risk mitigation, prime brokerage, and market sentiment and perception.	1	Securities (General)
53	Shares Essentials	Shares, also known as equities, are a type of asset class that represents ownership in a company. Each share will entitle the shareholder to have a say in business matters and how the company is governed. This is put to a vote at the company's annual general meeting. Moreover, shareholders are entitled to financial benefits that come with share ownership. While owning shares carries benefits, there are also inherent risks. Here, we explore the features, risks and benefits of owning shares, the types available, and how they are traded globally.	0.5	Securities (General)
54	Sovereign Wealth Funds	A sovereign wealth fund (SWF) is a state-owned investment fund, managed by the government, investing in real and financial assets, such as stocks, bonds, real estate, precious metals, or in alternative investments, such as private equity fund or hedge funds. The objective of a SWF is to pursue macroeconomic goals. This module examines the definition and history of sovereign wealth funds, surveys some of the major funds globally, and considers transparency issues and current and emerging trends.	1	Securities (General)

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No	Course Name	Course Description	Duration (Hours)*	Category
55	Stock Exchanges & Trading	Investments are made through stock exchanges, which have been at the heart of the global financial system for centuries. This module explores what stock exchanges are, how they work, their participants, how they have evolved over time, and potential future developments.	1.5	Securities (General)
56	Strategy, Risk and Finance	Financial services firms are operating in a world of unprecedented complexity and challenge. This module reviews how firms can set their strategy, manage their risk exposure and fund their operations. It explains how effective boardroom dynamics are essential to navigate a volatile and rapidly changing business environment. Strategy, risk and finance are deeply interconnected factors and need to be managed in an integrated fashion, supported by a resilient corporate culture.	1	Securities (General)
57	Structured Investment Products	Investors are frequently told that higher returns can only be achieved by taking greater risk. Therefore, one might assume that in order to benefit from the level of returns available from investment in equities, investors must be willing to put their capital at risk – in other words, to risk losing money. This module provides an overview of a type of investment which is sometimes presented as providing equity-type returns whilst still guaranteeing the investor's capital, namely structured investment products (SIPs). It explains how SIPs are constructed, considers their main features, and also explains how SIPs modify, rather than remove, the risk to investor's capital.	0.75	Securities (General)
58	Time Value of Money	The time value of money (TVM) is the expected return, or cost, of money over a given time period, and is an important tool for financial decision making. This module explores what TVM is, how to calculate it, its applications, and its risks and limitations, as well as how those risks could be mitigated.	1.25	Securities (General)
59	Trade Finance	This module covers the basic concepts of trade finance, considering both domestic and international trade. It introduces candidates to the need for trade finance, the common products and services available to corporate clients and small businesses involved in domestic and international trade, and discusses risks and trends within the industry.	1.25	Securities (General)
60	Trusts	A trust is a way of transferring property from one person to another, without giving them full control over it. This module provides an understanding of the definition and history of trusts, the different types available, their features and benefits, the different jurisdictions, tax and regulations, and what goes into creating a trust.	1.25	Securities (General)
61	Understanding Corporate Transactions	Corporate transactions influence a company's growth strategy, market presence and financial structure. This module examines key corporate transactions, and how each serves unique purposes, enabling a company to optimise its operations, capitalise on opportunities and adapt to changing market conditions.	2.5	Securities (General)
62	Change Management	Inevitably, change affects every workplace. Our challenge is to make it work to our advantage. Throughout this module, we will explore change in all its forms and examine the tools you can use to meet it head-on.	2	Securities (Soft Skills)
63	Networking	Networking is the art of creating and nurturing meaningful, professional and mutually beneficial relationships. Networking is a skill that can be harnessed to achieve any number of goals but, for a lot of people, it is something that is likely to be dreaded and avoided. Throughout this module, we will explore some of the most effective strategies for networking, how to enjoy it and how to make it a part of your daily working life.	1.5	Securities (Soft Skills)
64	Presentation Skills	Financial services professionals are frequently challenged to differentiate both their firms and themselves from the competition. The ability to deliver clear, concise and compelling presentations is one way in which people can address this challenge. This module provides an understanding of the importance of soft skills, the various types of presentations, how to prepare and structure a presentation, how to utilise visual aids and how to deliver a presentation with confidence and conviction.	1.25	Securities (Soft Skills)
65	Foreign Exchange	The foreign exchange market is where all the world's currencies trade and is both the largest and most liquid global market. This module provides an overview of the foreign exchange market, including some of the principal concepts and terminology used. It also introduces some of the most important trading techniques and how businesses use foreign exchange to manage risk.	2.25	Securities (Foreign Portfolio Investment)

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66	Offshore Fund Administration (Crown Dependencies)	Offshore funds are provided by many jurisdictions on every continent. They differ from most UK-based onshore funds in that the funds themselves attract little or no taxation within the jurisdiction in which they are based. This module provides an understanding of offshore fund structures, the legal and regulatory framework, types of investment, administration and the distribution of offshore funds. While it focuses on the Crown Dependencies (Guernsey, Jersey and the Isle of Man) it also includes an overview of other major offshore centres.	0.75	Securities (Foreign Portfolio Investment)
67	Commodities and Energy Markets	Commodity markets are physical, or virtual, marketplaces for buying and selling primary, or raw, products (commodities). Energy markets deal specifically with the buying and selling of energy, such as oil, electricity and gas. Commodity derivatives are investment tools that allow investors to trade in certain items without possessing them. This module explores the energy markets, commodity markets and commodity derivatives.	1	Derivatives
68	Derivatives	A derivative can be simply defined as 'a contract between two or more parties; the price of the derivative is based on an underlying asset, which can be a stock, bond, commodity, currency, interest rate or market index'. Derivatives are designed to reduce or hedge the risk of uncertain price outcomes and can be used purely as means of generating profits. This module provides an understanding of the definition and purpose of derivatives, underlying assets and trading, and regulatory requirements and developments.	1	Derivatives
69	Anti-Money Laundering	With the ever-increasing scale of the money laundering problem, it is not surprising that tackling the issue is high on the international agenda. As a result, combating money laundering continues to be a major challenge for the financial sector in the UK and globally. This module examines anti-money laundering legislation and regulation (focusing on the UK), the role of the money laundering reporting officer, how to report suspected money laundering, terrorist financing, and the sanctions and penalties that can be imposed for money laundering.	2	Ethics & Rules
70	Anti-Money Laundering Essentials	Combating money laundering is a major challenge for financial sector firms and their employees. This module examines the basics of money laundering, including examples of the crime, and how to identify red flags and react to suspected cases.	1.25	Ethics & Rules
71	Conduct Risk	Conduct risk can be defined as the risk to the delivery of fair customer outcomes, or to market integrity. Conduct risk can be seen as a progression in regulatory thinking that began with treating customers fairly, and which then developed through principles-based regulation, and then on to outcomes-focused regulation, before becoming conduct risk. This module assesses what conduct risk is, how it is managed, its practical application, the powers of regulators, and the importance of treating customers fairly as well as the impact of the new Consumer Duty. Although the content of the module is based on the approach taken by UK regulators, the main principles are applicable internationally.	1.5	Ethics & Rules
72	Conflicts of Interest	This module examines the UK regulatory requirements, examples of conflicts of interest, tools, policies and procedures, enforcement action, and best practice.	0.75	Ethics & Rules
73	Digital Ethics	Ethical principles are key to a fair and equitable society, and this is no different in a digital world. Transparency, accountability, and clear communication are important aspects in the creation of products and services. This module will explore some of the ethical implications of digitalisation, and the systems being developed and implemented as protection.	1.25	Ethics & Rules
74	Ethics and Board Culture	Company culture is a significant and evolving area of both general interest and academic research. It relates to the shared set of values, beliefs and attitudes that make up an organisation. The purpose of this module is not to provide a comprehensive guide to each of the issues and debates relating to the topic, but to offer an overview of the role of a company's board in promoting an ethical culture. While many of the examples are drawn from the UK, the concepts and principles discussed in this module are not specific to a particular context or jurisdiction.	1.25	Ethics & Rules
75	Fair Treatment of Customers	Fair Treatment of Customers (FTOC), formerly called Treating Customers Fairly (TCF), has been an important initiative of regulators for some time. It needs to be considered in all parts of a firm's business and at all stages of a product's life cycle. This module investigates the background, coverage and outcomes of the treating customers fairly concept and how it is enforced, the role of management information, and the life cycle of the product.	1	Ethics & Rules

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76	General Data Protection Regulation (GDPR)	This module sets out what organisations need to do to protect the personal information they hold under the UK General Data Protection (UK GDPR) and examines how the UK GDPR provides individuals with powerful rights in respect of their personal information held by organisations.	1.5	Ethics & Rules
77	Inducements and Dealing Commissions	The term 'inducement' is used to cover monetary or non-monetary benefits which may influence a recipient's decisions or judgements in a particular area. This module assesses the application of the inducements and dealing commission rules, the obligations of firms, guidance on inducements, the use of dealing commissions, disclosure and record keeping, and evidential provisions.	1	Ethics & Rules
78	Integrity and Ethics	Ethics is about how we live a 'good' or 'valuable' life. Integrity means, essentially, wholeness or oneness and is often used interchangeably with ethics, although it is actually an important term in its own right. This module provides an understanding of ethical behaviour, ethics in finance, the importance of trust and trustworthiness, and an analysis of compliance versus ethics.	1.25	Ethics & Rules
79	Integrity and Ethics Essentials	Integrity and ethics are important concepts in life, as well as in business. Although the terms are often used interchangeably, they are not the same. This module will examine integrity, ethics and conduct, and why they are important in the context of financial services.	0.75	Ethics & Rules
80	Introduction to Compliance	The focus of this module is on compliance within the UK financial services regulatory system. However, it is recognised that, for large financial institutions operating in multiple jurisdictions and markets in particular, the outlook for financial services compliance is global and, as such, multi-layered and complex. Accordingly, for readers not based in the UK, the core compliance concepts outlined in this module are relevant irrespective of jurisdiction and can be applied equally by firms operating in the UK or elsewhere.	1.5	Ethics & Rules
81	Know Your Customer (KYC)	Know your customer (KYC) is the process that enables financial institutions to identify their customer and understand their requirements, and to improve their banking experience. In addition, it allows the firm to gain sufficient knowledge of a customer to meet its regulatory obligations. This module provides an overview of the KYC process. While some of the specific examples are drawn from the UK, the main content of the module reflects international standards and best practice (in particular, the recommendations issued by the Financial Action Task Force (FATF)). In addition, it outlines the principal elements of the KYC process, while recognising that most firms will have their own internal policies which will set out the specific steps that must be undertaken.	1.75	Ethics & Rules
82	Market Abuse	Market abuse is behaviour which affects a financial market adversely and which can unreasonably disadvantage investors in that market, directly or indirectly. There is a very wide range of abusive behaviour which, broadly, can be divided into insider dealing, misuse of information, and market manipulation. This module examines market abuse, its offences, scope, penalties, safe harbours, its international perspective, the Code of Market Conduct, the regular user test, reporting obligations and the relationship with other offences.	1	Ethics & Rules
83	Market Abuse Essentials	Many people who work in financial services, particularly those in investment firms, have a general sense of what is meant by the term 'market abuse'. However, fewer people are able to define it accurately, or describe the various forms it can take. This module is intended to provide a concise, non-technical introduction to market abuse, and does not assume any prior knowledge of the topic. It outlines what market abuse is, and the various forms it can take. It also explores some of the practical issues relating to the prevention of market abuse, including the responsibilities of both firms and individual employees.	0.75	Ethics & Rules
84	Prevention & Detection of Fraud & Corruption	Firms in every industry face the risk of being affected by fraud and corruption. Financial services firms in particular must have systems in place to avoid or, once they have occurred, detect and mitigate the effects of unethical or illegal behaviour. This module is intended to help professionals understand and, hopefully, reduce the likelihood of fraud or corruption occurring.	2	Ethics & Rules

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No	Course Name	Course Description	Duration (Hours)*	Category
85	Regulation Case Studies	This module brings financial services regulation to life through a series of ethical dilemmas. Each scenario is based on a real-life regulatory case study or issue. The module focuses on principles rather than rules, and the examples will be relevant regardless of your jurisdiction, although the UK regulatory and legal regime is used as the benchmark. The CISI Code of Conduct is highlighted as the primary reference point for tackling ethical and regulatory dilemmas.	1	Ethics & Rules
86	Speak Up	Speaking up and raising concerns has risen to prominence as a result of some high-profile cases, which have highlighted instances of wrongdoing, poor behaviour and, in some instances, criminality within many firms and organisations. The purpose of this module is to help give individuals the knowledge, tips and tools they need to be able to speak up with confidence, and to share examples of best practice from the perspective of both employees and employers.	0.75	Ethics & Rules
87	Transaction Laundering	This module is designed to provide an introduction to transaction laundering, which is a form of money laundering that is becoming increasingly prevalent in the payments sector. It will primarily focus on explaining the concept, and why it presents a problem for governments, enforcement agencies and the financial sector. It will also outline how transaction laundering differs from other, more traditional, forms of money laundering.	1	Ethics & Rules
88	Vulnerable Customers	Vulnerable customers may be significantly less able to represent their own interests, and more likely to suffer harm than the average consumer. The FCA's final guidance (FG21/01) on fair treatment for vulnerable customers indicated that 50% of the UK's adult population currently exhibit one or more characteristics of being potentially vulnerable, and more recent surveys confirmed an increase in customers with low financial resilience, which is due to the increased cost of living and difficult economic conditions and is reflected in the substantial reliance on foodbanks by many people. Over the course of this module, we will consider how vulnerable customers and financial planners interact in a way that demonstrates the best interest for the client. Different organisations use different terminology to describe the same individuals, so those who are vulnerable may be referred to as a 'vulnerable customer', 'vulnerable consumer' or 'vulnerable client'. For the purposes of this module, we will use 'vulnerable customer' as that is the terminology mainly used by the FCA, except where there is a direct quote from a source that uses something different.	1	Ethics & Rules
89	AI in ESG	Imagine a world where artificial intelligence (AI) predicts environmental disasters before they happen, uncovers hidden social injustices and revolutionises corporate governance. This module examines the impact of AI in environmental, social, and governance (ESG), where technology meets sustainability to reshape our future.	1.5	ESG
90	Climate Finance	Climate finance directs capital towards projects and initiatives that actively contribute to reducing greenhouse gas emissions, mitigating climate risks and promoting sustainability across various industries. This module is designed to provide an understanding of climate finance, why it is important, and how financial resources are harnessed to catalyse the transition to a low-carbon, climate-resilient future.	2	ESG
91	Environmental, Social and Governance (ESG) Investing	Conventionally, investors select a range of investments with the goal of maximising total returns within their risk tolerance levels. With environmental, social and governance (ESG) investing, environmental and social considerations also apply. This module examines what ESG is, why ethical investing matters, ethical ways to invest, the screening processes that are available, corporate social responsibility, faith-based investing, ethical investment indices, and the future of ESG.	1.75	ESG
92	ESG and the Role of the Board	In the modern era of corporate governance, environmental, social and governance (ESG) factors have emerged as a critical framework for evaluating a company's broader impact beyond using conventional financial metrics. ESG encompasses a spectrum of considerations that reflect a company's commitment to sustainability, ethical practices and responsible leadership. This module outlines the ways in which ESG factors can impact firms within the financial services sector. It considers specific elements of a board's role in overseeing a firm's approach to sustainability, as well as the current hurdles and emerging trends that financial institutions and their boards face.	1.75	ESG

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No	Course Name	Course Description	Duration (Hours)*	Category
93	Ethical and Sustainable Investment	As participants in financial capital markets, individuals and organisations are free to select investments on any basis they wish (subject to fiduciary responsibility in certain cases, eg, trustees to a trust's beneficiaries). While conventional market practice dictates that investors should operate solely to maximise their returns, ethical, sustainable and responsible investors believe that moral considerations should also apply, or that short-termism is supporting damaging corporate activities. There may be variations in interpretation but, in summary, decision making for ethical, sustainable and responsible investment includes factors other than solely maximising returns.	2	ESG
94	Green Bond and Asset Backed Securities	Ethical, responsible and sustainable investing has grown in importance and popularity in recent years, alongside increasing interest in, and awareness of, the importance of tackling climate change and other environmental issues. Green bonds and asset-backed securities offer an alternative to traditional securities for investors concerned with the environmental impact of how their money is used. This module will explore the various types of green bonds and asset-backed securities available, as well as their benefits and risks.	2	ESG
95	Greenwashing	Greenwashing is the practice of exaggerating the environmental benefits of a company's activities. While greenwashing can create a temporary benefit for companies involved in the practice – such as an improved reputation, or even greater profits – ultimately, it deceives consumers, and could even end up causing environmental harm. This module examines what greenwashing is, why it is a concern, some of the ways to identify organisations that are greenwashing, and the ways in which it can be prevented.	1.75	ESG
96	Impact Investing	Individual and institutional investors can generally select the assets they invest in on any basis they wish. Conventionally, investors operate solely to maximise returns, but ethical and sustainable investors believe that moral considerations should also apply. Impact investors aim to take ethical and sustainable investment principles a step further by intentionally making investment choices that result in measurable non-financial impacts as well as monetary returns.	1.5	ESG
97	The Importance of Governance in ESG	The focus on ESG is increasing, and so the importance of governance in particular has accelerated following recent world events. In this module, we explore the meaning and value of governance, how it relates to ESG, best practices and the challenges companies face.	1.75	ESG
98	Net Zero in Investment Management	The looming threat of climate change has made achieving net zero greenhouse gas (GHG) emission targets imperative for safeguarding our planet's future. The financial sector is grappling with this existential threat, and the concept of net zero emissions has emerged as a critical imperative. In this module, we will discuss how asset managers can align their investment strategies, stewardship practices and portfolio construction to achieve a sustainable, low-carbon economy in line with the global goal of net zero.	2	ESG
99	Responsible & Sustainable Investment Funds and the Equity Markets	This module examines what responsible and sustainable investment is, why it matters, the screening processes that are available, corporate social responsibility, ways to invest responsibly and sustainably, investment indices against which performance can be benchmarked, and the future of responsible and sustainable investing.	2	ESG
100	Responsible Investment - the Taxonomy	Taxonomies help address concerns about weak or inadequate practice. This module explores how the taxonomies work to support responsible investment goals, as well as the various implications and possible challenges.	1.75	ESG

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