## CISI's Online CPD Course List for <span style="color:red">Investment Analysts (IAs)</span>

| No | Course Name | Course Description | Category | Duration (Hours)* |
|---|---|---|---|---|
| 1 | Conflicts of Interest | This module examines the UK regulatory requirements, examples of conflicts of interest, tools, policies and procedures, enforcement action, and best practice. | Ethics & Rules for IA | 0.75 |
| 2 | 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. | Ethics & Rules for IA | 1.25 |
| 3 | 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. | Ethics & Rules for IA | 2 |
| 4 | 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. | Ethics & Rules for IA | 1.25 |
| 5 | 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. | Ethics & Rules for IA | 1 |
| 6 | 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. | Ethics & Rules for IA | 1.25 |
| 7 | 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. | Ethics & Rules for IA | 0.75 |
| 8 | 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. | Ethics & Rules for IA | 1.5 |

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| 9 | 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. | Ethics & Rules for IA | 1 |
| 10 | 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. | Ethics & Rules for IA | 0.75 |
| 11 | 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. | Ethics & Rules for IA | 2 |
| 12 | 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. | Ethics & Rules for IA | 1 |
| 13 | 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. | ESG Fundamental | 1.75 |
| 14 | 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. | ESG Fundamental | 1.5 |
| 15 | 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. | ESG Integrated Analysis | 1.5 |
| 16 | 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. | ESG Integrated Analysis | 2 |

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| 17 | 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. | ESG Integrated Analysis | 1.75 |
| 18 | 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. | ESG Integrated Analysis | 2 |
| 19 | 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. | ESG Integrated Analysis | 1.75 |
| 20 | 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. | ESG Integrated Analysis | 2 |
| 21 | 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. | ESG Integrated Analysis | 1.75 |
| 22 | 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. | ESG Integrated Analysis | 1.75 |
| 23 | 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. | Asset Allocation | 1.25 |
| 24 | 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. | Asset Allocation | 1 |
| 25 | 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. | Asset Allocation | 1.5 |

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| 26 | 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. | Asset Allocation | 2.25 |
| 27 | 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. | Asset Allocation | 2.25 |
| 28 | 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. | Asset Allocation | 2 |
| 29 | 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. | Asset Allocation | 1.75 |
| 30 | 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. | Asset Allocation | 2 |
| 31 | 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. | Asset Allocation | 2.5 |
| 32 | 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. | Asset Allocation | 1 |
| 33 | 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. | Asset Allocation | 2 |
| 34 | 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. | Asset Allocation | 2 |
| 35 | 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. | Asset Allocation | 1.25 |

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| 36 | 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. | Analysis & Valuation | 1 |
| 37 | 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. | Analysis & Valuation | 1 |
| 38 | 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. | Analysis & Valuation | 0.75 |
| 39 | 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. | Analysis & Valuation | 2.25 |
| 40 | 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. | Analysis & Valuation | 1 |
| 41 | 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. | Analysis & Valuation | 2.5 |
| 42 | 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. | Analysis & Valuation | 1.5 |
| 43 | 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. | Analysis & Valuation | 1.75 |
| 44 | 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 inherit risks, why and how they should be used, and future developments. | Analysis & Valuation | 1 |

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|---|---|---|---|---|
| 45 | 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. | Analysis & Valuation | 1.75 |
| 46 | 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. | Analysis & Valuation | 2 |
| 47 | 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. | Analysis & Valuation | 1.75 |
| 48 | 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. | Analysis & Valuation | 1.5 |
| 49 | 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. | Analysis & Valuation | 1 |
| 50 | 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. | Analysis & Valuation | 1 |
| 51 | 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. | Analysis & Valuation | 0.75 |
| 52 | 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. | Analysis & Valuation | 2.5 |

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| 53 | 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. | Additional Knowledge | 1.5 |
| 54 | 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. | Additional Knowledge | 1.5 |
| 55 | 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. | Additional Knowledge | 0.75 |
| 56 | 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. | Additional Knowledge | 1 |
| 57 | 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. | Additional Knowledge | 1 |
| 58 | 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. | Additional Knowledge | 1 |
| 59 | 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. | Additional Knowledge | 1.25 |
| 60 | 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. | Additional Knowledge | 1.5 |

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| 61 | 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. | Additional Knowledge | 0.75 |
| 62 | 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. | Additional Knowledge | 1.5 |
| 63 | 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. | Additional Knowledge | 1.5 |
| 64 | 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. | Additional Knowledge | 1.25 |
| 65 | 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. | Additional Knowledge | 1.25 |
| 66 | 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. | Additional Knowledge | 1.5 |