



TRAININGS & QUALIFICATIONS



TRAINING CONTENTS

IN COLLABORATION WITH ICA

- ICA Certificate in Anti Money Laundering 3
- ICA Certificate in Compliance 4
- ICA Certificate in KYC and CDD 5
- ICA Certificate in Financial Crime Prevention 6
- ICA Specialist Certificate in Financial Crime Risk in Global Banking and Markets 7
- ICA Specialist Certificate in Financial Crime Risk and New Technology 8
- ICA Certificate in Managing Sanctions Risk 9
- ICA International Advanced Certificate in AML 10

IN COLLABORATION WITH STEP

- STEP Certificate in Anti-Money Laundering 13
- STEP Certificate in International Trust Management 14

IN COLLABORATION WITH ICC

- Certified Finance Trade Professional Programme 15

IN COLLABORATION WITH CLTI &

ALLIANCE MANCHESTER BUSINESS SCHOOL

- Certificate in Fund Administration 16
- Advanced Certificate in Fund Administration 16

IN COLLABORATION WITH CISI

- AML/CFT 17
- Sustainable Responsible Investment 19
- Professional Refreshers 21
- Integrity Matters 24

ICA Certificate in Anti Money Laundering Syllabus

Understanding Money Laundering, Terrorist Financing and Sanctions

- What is money laundering?
 - Why is money laundered?
 - How is money laundered?
 - What crimes generate property that can be laundered?
- What forms of property can be laundered?
- Terrorist financing
 - What is terrorist financing?
 - How does terrorist financing differ from money laundering?
- Sanctions
 - An insight into why these are important
 - Which sanctions lists should you use?

Vulnerabilities of Financial Institutions to Money Laundering and Terrorist Financing

- Money laundering and terrorist financing vulnerabilities of financial services
- Emerging technologies and new payment methods

Anti Money Laundering and Combating Terrorist Financing in Practice

- Identifying money laundering and terrorist financing activity
- Customer Due Diligence (CDD)
 - Simplified Due Diligence
 - Enhanced Due Diligence
 - Unwrapping beneficial ownership
- Politically Exposed Persons (PEPs)
- Monitoring client activity
- Reporting suspicious activity
 - Client confidentiality
 - Handling the risk of tipping off

Anti Money Laundering and Combating Terrorist Financing – Legal and Regulatory Structures

- The Financial Action Task Force (FATF)
- The European Money Laundering Directives (MLD)
- Legislative and regulatory regimes
- Anti money laundering and terrorist financing legislation
 - Offences of money laundering
 - Legal obligation to report suspicious activity

Management Obligations and the Risk-based Approach to Money Laundering and Terrorist Financing

- Risk-based approach
- Formulating anti money laundering and terrorist financing policies and procedures
- Monitoring compliance with the policy
- Resources
- Culture

The ICA Certificate in Compliance Syllabus

Unit 1: What is regulation, and why do we need it?

- Introduction to regulation
- What is regulation for?
- Regulatory objectives
- The risk-based approach to regulation
 - A – Regulatory models
 - B – Regulatory approaches
 - C – Regulatory powers
- Sources of regulation

Unit 2: How did we get to where we are today?

- A brief history – key milestones
- Current influences on regulation
 - International dimensions
 - Politics and economics
 - Globalisation
 - Technology
 - Individuals
 - The role of the media
- Why do we need to know this?

Unit 3: The role of Compliance

- Managing compliance and regulatory risk
- The role of the compliance function
- The role of the compliance professional
 - Analyst
 - Scanning the horizon
 - Regulatory assurance
 - Regulatory liaison
 - Regulatory advice
 - Training and education
- Internal and external relationships
- The skills required to be successful in a compliance role
 - Technical skills
 - Soft skills
- Dealing with problems – investigations and enforcement

Unit 4: Compliance in practice – key areas

- Understanding the risk-based approach to compliance
- Conduct risk
- Prudential compliance
- Financial crime compliance, including AML
- Data protection
- Managing change – including technology developments

ICA Certificate in KYC and CDD Syllabus

CDD – Why Bother?

- What is customer due diligence?
- Why is CDD important?
- Regulatory drivers: AML, tax, conduct of business
- CIP vs. CDD vs. KYC – an overview of terms
- The international perspective – EU ML directives, US, APAC

The Risk-Based Approach to CDD

- What is a risk-based approach?
- Navigating key risk factors and common red flags
- Applying simplified, standard and enhanced due diligence
- Risk rating and acceptance
- Firm-wide risk assessments

Key CDD Concepts

- Private persons vs. legal entities
- Customer verification
- Customer profile
- Nature and purpose of the relationship
- Beneficial ownership & control
- Ongoing monitoring, customer screening

Core KYC Frameworks

- The CDD process and its key stakeholders
- Recording KYC information – data management, KYC templates
- Elements of an effective KYC infrastructure
- Industry-wide KYC utilities and other emerging trends

What It's Like Working in KYC

- The 3 dimensions of KYC – risk, operations, service
- The importance of working to policy standards
- Common practices in different industries
- Ownership & accountability: 3 Lines of defence, escalation paths
- Overview of industry guidance and resources

ICA Certificate in Financial Crime Prevention Syllabus

What is Financial Crime?

- Defining financial crime
- Types of financial crime
- Who commits financial crime?
- Why do people commit financial crime?

What are the Financial Crime Risks?

- Common behaviour characteristics of fraudsters
- Common warning signs

Fraud Controls

- Antifraud strategies
- Risk assessment
- Effective systems and controls in practice
- The importance of an antifraud culture

Banking – Fraud Typologies

- Customer account fraud
- Deposit fraud
- Lending and credit fraud

Identity Theft and Cyber Crime

- Identity theft and fraud
- Computer and internet fraud

Bribery and Corruption

- The nature of bribery and corruption
- International initiatives to combat bribery and corruption
- Political leaders and financial crime

Fraud Response Policy

- Objectives of a fraud response plan
- Fraud reporting channels and whistle-blower protection
- The fraud response plan and contingency planning

The English Legal System – A Case Study

- Theft offences
- Fraud offences
- The insider dealing offence
- The market abuse offence
- Money Laundering offences

ICA Specialist Certificate in Financial Crime Risk in Global Banking and Markets - Syllabus

Overview of Financial Crime Risk

- Market abuse, fraud and manipulation
- Money laundering
- Terrorist financing
- Tax evasion
- Bribery and corruption
- Sanctions

Customer Risk Typologies

- Designated non-financial businesses and professions (DNFBPs)
- Asset/fund managers, hedge funds, sovereign wealth funds
- Correspondent banking/banks
- Money service businesses
- Exchanges and broker-dealers
- Charities and non-profits
- Oil and gas, extractive industries
- Construction
- Telecoms
- Health and pharmaceutical

Financial Market Product and Service Risk Typologies

- Derivatives
- Foreign exchange
- Loans and syndicated loans
- Securities
- Trade finance
- Liquidity and cash management
- Mergers and acquisitions
- Commodities

Customer Due Diligence and The Customer Lifecycle

- Customer due diligence (CDD)
- Identification and verification (ID&V)
- Know your customer (KYC)
- Enhanced due diligence (EDD)
- Ongoing due diligence
- Risk approval and management

ICA Specialist Certificate in Financial Crime Risk and New Technology Syllabus

Applying Financial Crime Concepts to Emerging Technology

- Perception of fintech and financial Crime
- Dual benefits of technology
- Risk and new opportunities

Emerging Technologies and Financial Crime Risk

Explore key features of technology including:

- Blockchain & Distributed ledger technology (DLT)
- Cryptocurrencies
- Decentralised Finance (De-Fi)
- ID services for onboarding
- Big data

Impact of Innovation on Financial Services

- How to integrate with FinTech disruptors
- Legal and compliance risks of partnerships
- Open banking risks and benefits

Harnessing RegTech to Reduce Financial Crime

Explore latest RegTech techniques including:

- Artificial Intelligence
- Machine learning
- Real-time analytics
- Removal of unconscious bias
- Facilitating faster decision-making

Predicting New Disruption for Financial Services

Review of risks and opportunities of emerging tech:

- Central Bank Digital Currencies (CBDC)
- Financial inclusion
- Role of open source intelligence (OSINT)
- Internet of Things (IoT)
- Wearables

ICA Certificate in Managing Sanctions Risk Syllabus

Understanding Sanctions

- Definitions:
 - What are sanctions?
 - What are they designed to achieve?
 - Why are sanctions important?
- Measures:
 - Financial
 - Non-financial
- Programmes:
 - Regime-based
 - Activity-based
 - Comprehensive

The International Context

- FATF
- UN (Security Council)
- EU Policy and Regulation
- National governments:
 - Primary legislation
 - Implementing departments, enforcement agencies and regulatory bodies
- Focus on the US:
 - OFAC
 - PATRIOT Act
 - FinCEN special measures
- Focus on the UK:
 - HMT Regime, FCO and BIS
 - FCA, JMLSG
 - Export controls
- Impact of other bodies
- External influences

Defining a Sanctions Governance Framework

- Defining roles and responsibilities
- The importance of (group) policies and procedures
- Culture of compliance
- CDD:
 - Individuals and entities
 - Proliferation and dual use goods
- Recognising techniques for evasion:
 - Wire transfers
 - Stripping
 - U-turns
 - Shell companies
 - Correspondent banking: know your customer's customer

Sanctions Lists and Screening

- Screening systems and controls
- Who should be screened?
 - Individuals
 - Entities
 - Identifying UBOs
 - Suppliers
 - Targeting terrorism (FATF Rec 6)
- Who/what else should be screened?
 - Payments and transactions
 - Goods and services
 - Countries, jurisdictions, regions
 - Sensitive words, dual-use goods and noise words
- External watch lists
- Internal watch lists
- Calibration:
 - Fuzzy logic
 - False positives
- Quality assurance and testing

ICA International Advanced Certificate in Anti Money Laundering Syllabus

Unit 1: What are the Money Laundering, Terrorist Financing and Sanctions Risks that must be Managed?

- What is money laundering?
 - What role can the financial sector play?
 - How is money laundered?
 - A modern assessment of money laundering
 - The money laundering offences
 - The links between money laundering and corruption
 - Money laundering and tax evasion
 - Why is money laundering prevention important?
- Terrorist financing
 - What is terrorist financing?
 - How is terrorism financed?
 - What is an alternative remittance system?
- Financial and economic sanctions
 - What are sanctions?
 - Why are sanctions important?
 - United Nations Sanctions Framework
 - Regional sanctions
 - US (OFAC) regime
 - Country restrictions
 - Local sanctions laws
 - The cost of getting it wrong
- Proliferation finance
 - Dual-use items
 - The risks arising from proliferation financing

Unit 2: The International Bodies and Standard Setters

- The role of the international bodies
- Key international organisations
 - The International Monetary Fund
 - United Nations Global Programme against Money Laundering
 - The World Bank
 - The Financial Action Task Force
 - The Basel Committee on Banking Supervision
 - The European Commission and Council
 - The Egmont Group
 - The Wolfsberg Group
 - Transparency International

- The work of the international bodies and its relevance for AML practitioners
 - FATF mutual evaluations
 - Typologies and guidance
 - The focus of transparency

Unit 3: National Legal and Regulatory Frameworks

- The impact of the FATF standards and recommendations on domestic frameworks
- US primary legislation and regulation
 - Bank Secrecy Act 1970
 - The PATRIOT Act
 - Other related AML/CTF legislation
 - Key US regulatory and law enforcement authorities
 - Lessons from enforcement actions
- United Kingdom
 - Primary legislation: The Proceeds of Crime Act 2002
 - Secondary legislation: The Money Laundering Regulations 2017
 - Industry and professional guidance
 - Financial Conduct Authority supervisory rules and enforcement
 - Key UK law enforcement authorities
 - The UK as a high-risk jurisdiction
- Examples of other jurisdictions
 - Jersey
 - Singapore
 - Hong Kong
 - India
 - United Arab Emirates

Unit 4: Taking an AML/CFT Risk-based Approach and Managing the Risks

- What is an AML/CFT risk-based approach?
 - FATF guidance on the risk-based approach
 - National risk assessments
- Determining the risks
 - Business risk assessments: organisations and operational risks
 - Assessing sector risk
 - Assessing product and service risk
 - Customer risk
 - Geographical risk
 - Delivery channel risk
- Management of AML/CTF risks
 - Implementing a risk-based approach
- Anti money laundering roles and responsibilities within a financial services business
 - The role of senior management
 - The role of the money laundering reporting officer
 - The MLCO/MLRO's role in money laundering risk assessment
 - Managing relationships with law enforcement agencies and regulators
- Escalation to senior management
- Exiting relationships

Unit 5: Initial and 'Ongoing' Customer Due Diligence (CDD)

- What is CDD?
 - The basic European and UK domestic standards
 - The basic international standard
 - Who is the customer and what is meant by the identification of beneficial owners?
- The risk-based approach to CDD
 - The requirements of the international standards
 - Practical application of the risk-based approach to CDD
 - Risk-based CDD requirements for existing customers
- Lower risk situations and simplified due diligence
 - Exceptions made to guard against financial exclusion
- Higher-risk situations and enhanced due diligence
 - When is enhanced due diligence required?
 - What is enhanced due diligence?
 - Mandatory high-risk customers: PEPs
 - Mandatory high-risk relationships: correspondent banking
 - Other examples of high-risk situations
 - Unacceptable relationships
- The practical application of CDD
 - Interpretation of the key CDD terminology
 - CDD for specific risk situations
- Identifying and verifying identity
 - Who must be identified and why?
 - Electronic verification of identity
 - Identifying and verifying the identity of corporate entities
 - Beneficial ownership and complex structures
 - Relying on third parties and accepting introduced business
- The extent of additional information to be collected
- 'Ongoing CDD' and monitoring relationships
 - Trigger event monitoring
 - The challenges to be overcome
- Testing the CDD process

Unit 6: Monitoring Activity and Transactions

- The developing standards for monitoring transactions and activity
 - Customer profiling and using CDD information for monitoring purposes
 - Transaction records
 - Monitoring processes adding value to the AML/CTF regime
- Risk-based transaction monitoring and filtering framework
 - Transaction monitoring programmes
 - Automated transaction monitoring systems
 - Escalation processes
 - MI and exception reporting
- Wire transfer requirements of the International Standards
 - The EU Wire Transfer Regulation
- Sanctions lists and screening
 - Who should be screened?
 - Screening systems and controls

Unit 7: Recognising and Reporting Suspicions

- The international requirements
 - Currency transaction reporting
 - The US dual reporting requirements
- What is meant by suspicion and reasonable grounds to suspect?
 - The subjective test of suspicion
 - Reasonable grounds to suspect; the objective test of suspicion
- Setting reporting rules and parameters
 - The issues for consideration
 - Cross-border reporting obligations
 - What constitutes suspicious activity?
- The SAR/STR process and its documentation
 - Acknowledging an SAR/STR
 - Reasons for reporting
 - Making enquiries
 - The MLCO/MLRO evaluation process
 - Avoiding tipping off
- Balancing the needs of law enforcement with breach of customer confidentiality
 - The interface with data protection requirements

Unit 8: The Vulnerabilities of Specific Services and Products

Introduction

- Banking services
 - Retail banking services
 - Private banking
- Correspondent banking
- Lending and credit
 - Credit/charge cards and stored-value cards
 - Consumer finance
 - Mortgage lending
- International trade and trade finance
 - Letters of credit
- Foreign exchange and money transfer services
 - Foreign exchange bureaux
 - Money services businesses including alternative remittance systems
- Trust and corporate service providers
 - Corporate service providers
 - Trustee services
 - Tax evasion through offshore trusts and companies
- Insurance
 - Life insurance
 - General insurance
- The gaming sector
- Internet payment systems and virtual currencies
 - Risk factors within internet service providers
 - Digital virtual currencies

STEP CERTIFICATE IN ANTI-MONEY LAUNDERING

**DISTANCE
LEARNING**

Protect your firm with your enhanced insight as to how to identify and prevent money laundering

WHO IS IT FOR?

This Certificate is open-entry and has been designed for those who work in the international private wealth management field. The course will particularly benefit those whose roles involve compliance, regulatory matters, internal audit and money laundering reporting.

WHAT WILL I LEARN?

On successful completion of this course, you will be able to:

- Understand the basic requirements of the FATF standards and 40 Recommendations, and how and why these have developed as they have
- Understand the importance of a robust governance structure for money laundering prevention, the responsibilities of the board/senior management and the clear allocation of roles and responsibilities throughout the organisation
- Outline key risks relating to transaction monitoring and filtering activities and know how to use this knowledge in creating a risk-based transaction monitoring and filtering framework
- Appreciate the problems that can arise from conflicts between legal obligations to report and the need to maintain customer confidentiality
- Be familiar with the money laundering vulnerabilities of specific financial services and products, such as bank accounts and wire transfers and any others to which you are exposed in your employment

HOW WILL I BE ASSESSED?

Final assessment is via an online multiple choice examination.

HOW LONG DOES IT TAKE?

The course is delivered via distance-learning. Participants will have access to a wide range of resources and support including access to two virtual classrooms, a soft copy course manual, a workbook, webinars, online support and practice self-assessment questions and solutions. It is recommended that participants allow six months to complete the course.

STEP CERTIFICATE IN INTERNATIONAL TRUST MANAGEMENT

**DISTANCE
LEARNING**

Developing your understanding of the law and practice of the international trust industry from a global and local perspective

WHO IS IT FOR?

The Certificate is an introduction to the subject, so is suitable for you if you have little or no experience, or if you are unsure whether your understanding is sufficient to begin with the Diploma (see page 25).

WHAT WILL I LEARN?

On successful completion of this course, you will be able to:

- Increase your knowledge of all aspects of the international trust profession including the vehicles, legal structures, principles and practices underpinning it
- Provide an overview of the legislation, principles and practice in your local jurisdiction

HOW WILL I BE ASSESSED?

The Certificate is assessed by way of a five-hour, open-book examination. The examination comprises a mix of multiple choice questions and essay/scenario-based questions.

HOW LONG DOES IT TAKE?

The Certificate will take six months to complete. The programme is delivered through a blend of distance-learning and virtual workshops.

This course is available worldwide. Visit www.step.org/certITM to view the global timetable.

INTERNATIONAL CHAMBER OF COMMERCE CERTIFIED TRADE FINANCE PROFESSIONAL (CTFP) PROGRAMME

A cutting-edge training programme specifically designed for experienced trade finance practitioners to develop the skills needed to sell, deliver and process global trade finance solutions.

Core Courses

- Advanced Working Capital for Trade
- Advanced Documentary Credits
- Advanced Guarantees
- Advanced Supply Chain Finance
- Export Finance

Elective Courses

- Factoring
- Digital Trade Finance and Fintechs
- Managing Trade Sales
- Managing Trade Operations
- Managing Trade Products
- Advanced Commodity Finance
- Advanced Standby Letters of Credit

What's included ?

- One-year access to the professional certificate programme.
- Pre-assessment games, assessment questions, study guide & case studies.
- A live, proctored final exam with the opportunity to receive an industry-recognised certificate.
- Dedicated, full-time IT support to assist with any issues or questions.

▶ Price per Module (MQA Approved)

MF Member -MUR 8,000

Non -Member - MUR 9,000

▶ CTFP Certificate

Upon completion of 5 core and 4 elective modules, candidates will be eligible to take the exams leading to the CTFP certificate. The exams fees will be covered by Mauritius Finance.

MF Member -MUR 65,000

Non -Member - MUR 75,000

Contact

1st Floor, Atal Bihari Vajpayee Tower, Ebene

T: +230 464 8409

Email: trainings@mauritiusfinance.com

www.mauritiusfinance.com

The **Certificate in Fund Administration** is suitable for those embarking on a career that involves fund administration, back office support or fund operations. The Certificate is made up of the following six modules:

- The Fund Industry
- Fund Structures
- Fund Strategies
- Fund Accounting and Fund Valuations
- Taxation
- Regulation

Structure

The **Certificate** is designed to be studied part-time, alongside professional commitments.

Delivery is via CLT International's new online learning platform using aspects of e-learning, video, podcast and text. This enables individuals worldwide to undertake this qualification.

In order to complete the Certificate, you must successfully pass an online multiple-choice-question

examination. We recommend that this is taken after three months of study but our flexible approach means that you can take the examination whenever you feel ready.

Advanced Certificate in Fund Administration

The **Advanced Certificate in Fund Administration** is an intermediate level programme suitable for experienced fund administrators and other back office support staff. This comprehensive course builds on the Certificate and takes a detailed, practical look at key aspects of fund administration and accounting.

The Advanced Certificate is made up of the following nine modules:

Part 1 - Advanced Fund Structures, Strategies and Regulation

- Key Parties in a Fund
- Fund Lifecycles
- Alternative Investment Funds, Fund of Funds and Debt Fund Considerations
- Advanced Regulation

Part 2 - Advanced Fund Accounting and Analysis

- Fundamentals of Fund Accounting
- Accounting for Specific Fund Transactions
- NAV, GAV and Key Fee Calculations
- Preparation and Interpretation of Financial Statements
- Advanced Taxation

Anti-money Laundering & Combating the Financing of Terrorism in Mauritius

What is the Anti-money Laundering & Combating the Financing of Terrorism (AML/CFT) Professional Assessment?

This unique digital learning assessment, developed by the Chartered Institute for Securities & Investment (CISI) in collaboration with Mauritius Finance, provides an effective online AML/CFT assessment to support licensees of the Financial Services Commission and other regulatory bodies in Mauritius in meeting their training and CPD mandate. This is in line with the 2018 Financial Intelligence and Anti-money Laundering Act (FIAMLA) and its regulations, whereby financial institutions are required to provide annual AML/CFT training to all employees.

This interactive assessment includes several practical case studies and international best practice to help staff understand what they should do in certain situations, with links to related articles and videos to support their learning.

Who are the CISI?

The CISI is the largest and most widely respected professional body for the securities and investment profession in the UK and in a growing number of financial centres globally. Formed in 1992, the CISI has a global community of 45,000 members in over 100 countries. Last year more than 40,000 CISI exams were sat in 81 countries, including 15,000 taken outside the UK.

Who are Mauritius Finance?

Founded in 2020, Mauritius Finance (MF) is the leading voice for the financial services in Mauritius. MF brings together leading players in the financial sector which comprises of banks, management companies, accounting firms, law firms, and institutional investors, the Stock Exchange of Mauritius, and all other licensees of the Financial Services Commission (FSC), aiming to develop and promote Mauritius as an International Financial Centre.

Key features

- Supports the training requirements of the licensees of the Financial Services Commission in Mauritius
- Aims to raise the level of AML/CFT skills in Mauritius, aligning with international best practice
- Structured online learning, assessment, and certificate upon completion
- Cost effective, available on demand and accessible electronically via computer, smartphone, or tablet at any time
- Online reports available for employer use and external audits
- Equivalent to three units (three hours) of Continuous Professional Development (CPD)
- Entitled to HRDC refund

Who should study the AML/CFT Professional Assessment?

All individuals who deal with money directly or indirectly are required to evidence their compliance with AML/CFT training and assessment annually.

This module is customised to be in line with the FIAMLA and is tailored to those working in a bank, financial institutions, cash dealers, or member of relevant profession or occupation.

Topics

- An Introduction to Money Laundering
- Mauritius Legislation and Regulations
- Regulations and Handbook
- Terrorist Financing
- Suspicious Transaction Reporting
- Money Laundering Reporting Officer (MLRO)
- Compliance (CO)
- Sanctions

Test

Duration: 3 hours of study, followed by a test comprising 24 questions and lasting 24 minutes.

Pass mark: 75%

Location: Online

Please note you will have two attempts to pass the Professional Assessment.

To register and for more information

✉ trainings@mauritiustfinance.com ✉ aml-cft@csi.org

Mauritius Finance
1st Floor
Atal Bihari Vajpayee Tower
Ebene, Mauritius
+230 464 8409

Next steps

Professionals are encouraged to retake the AML/CFT Professional Assessment on an annual basis to refresh their knowledge and stay up to date with the latest regulations. Mauritius Finance is also offering a suite of structured online CISI CPD e-learning modules called Professional Refreshers relevant to financial services which may be of interest.

“This online course customised to Mauritian Laws and Regulations reiterates our commitment in promoting best AML/CFT practices and positioning our country as a jurisdiction that abides with best international norms. We are privileged to have the collaboration of the CISI in this initiative.”

Mahesh Doorgakant
Chairperson, Mauritius Finance

“Creating an easily-accessible online solution to increase employees' knowledge in fighting money laundering, terrorism financing, and proliferation in Mauritius is really important to us, and we are excited to offer this to the market.”

Simon Culhane Chartered FCSI,
Chief Executive, Chartered Institute for
Securities & Investment

Short online course with test and certificate

Sustainable and Responsible Investment



Why study this course?

There is more focus than ever before on sustainability, green investment and environment, social and governance (ESG) considerations. There is also increasing emphasis coming from regulators on integrity in this area including anticipated reporting requirements and a need for all professionals to have an understanding of the key concepts with regards to responsible finance. Threats such as climate change and populations growing across the world, only mean that sustainable and responsible investment approaches that seek to consider environmental good and financial return are more in demand. In an investment context, the incorporation of sustainable and responsible investment presents new challenges to traditional portfolio construction. It is, typically, viewed as an investment constraint, but this is not always the case and this Professional Assessment will explain why. It will give the learner an overview of terminology used, explain the use of benchmarks and examine future trends.

This short course is essential learning for anyone wanting to understand the fundamentals of sustainable and responsible investment.

Who are the CISI?

The CISI is the largest and most widely respected professional body for the securities and investment profession in the UK and in a growing number of financial centres globally. Formed in 1992, the CISI has a global community of 44,000 members in over 100 countries. Last year more than 40,000 CISI exams were sat in 81 countries, including 15,000 taken outside the UK.

Key features

- Short course of online self-learning with an certificate when you pass
- Understand the key terminology and issues
- Enhance your employability by demonstrating your competence
- Written by experts for financial services practitioners
- Covers all the fundamental information needed by professionals
- Global perspective and overview of an essential subject
- Can be taken anytime and anywhere on any device
- 6 hours of CPD

Who should study this Professional Assessment?

If you are looking for a course that covers what the main definitions are, an understanding of ESG and its integration, greenwashing, what the global developments are and how this might all apply for consumers then this Professional Assessment provides an excellent overview. Designed by a global team of experts, this course is relevant for wealth and investment managers advising clients but also those working across other financial services functions, including risk, compliance, asset management, banking, insurance, operations and financial planning. Completion of the course will give you a certificate that you can use to demonstrate your competence in this area.

Gain a certificate to demonstrate your competence in this subject without having to sit a full exam.

Learning materials

This Professional Assessment is an online course that you can study anytime, anywhere and on any device. A mix of interactive content, the course comprises videos, interviews, some reading and extra references and materials that may enhance your learning. The course seeks to give you a comprehensive understanding across a variety of materials. Undertake the learning at your own pace and then take the test at the end when you are ready.

Totally flexible materials - study at your own pace and on any device.

The test

The test at the end of the course should take no longer than 60 minutes. Made up of 30 questions from a broad question bank, it will thoroughly test your understanding. On passing the test, you will receive a certificate which shows your learning has been accredited by a Chartered body. You have two attempts to take the test to pass (75% pass mark) within a 60 minute test slot and it should be taken when and where you can complete it alone and uninterrupted. It is important that you have a secure internet connection to ensure your session is not disrupted as this may cause you to time out. After two unsuccessful attempts, you will need to repurchase the course to access the content again and take any further attempts. We are happy to offer a 50% discount for resits of this course. If you pass the Assessment, you will retain access to the course content, but you will not be able to retake the Assessment again.

The course content includes:

- Definitions and terminology
- The crossover with ESG
- Initiatives, standards and guidance
- Global developments
- Regulatory concerns and requirements
- Identifying greenwashing
- Appropriate benchmarking strategies
- Client sustainability objectives
- ESG integration
- The future sustainable and responsible landscape

Purchase this Professional Assessment today

Professionals are encouraged to take this Professional Assessment without delay.

Cost: £104 for CISI members, £125 for non-members

Duration: 6 hours study time, followed by a 60-minute test comprising 30 questions

Pass mark: 75%

Location: Online – accessible anytime and anywhere for one year from date of purchase (as long as you have internet access)

Visit: cisi.org/responsibleinvestment to register

Online Learning

Cutting edge analysis and insight for financial services professionals



cisi.org/pr

Refresh
your knowledge

Meet regulatory
and firm requirements

Earn CPD hours

Professional Refresher is our first-class online learning tool. There are over 200 self-administered modules available to support your professional development and growing expertise.

Below is a selection of modules that have been pre-identified by Mauritius Finance as being of particular relevance to the Mauritian market, to further enhance your knowledge.

Blockchains


Build your understanding of blockchain technology, its value drivers and the potential areas of impact on the financial markets.



CPD points: 0.75

Artificial Intelligence

Gain an insight into artificial intelligence (AI) including how it is, and will be, used. This module also looks at some of the ethical questions raised by AI.



CPD points: 1

Fintech

Fintech represents freedom, accessibility and innovation in financial services and products. As new ground is uncovered, unforeseen challenges and opportunities emerge.



CPD points: 1.5

Change management


Inevitably, change affects every workplace. Throughout this module, explore change in all its forms and examine the tools you can use to meet it head-on.



CPD points: 2

Crowdfunding


Learn more on crowdfunding as a financing tool, a comparison with peer-to-peer lending and IPOs, the users of crowdfunding, the process, and the risks and protections.



CPD points: 1

Cryptocurrencies


Find out 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.



CPD points: 1.5

Common Reporting Standards (CRS)

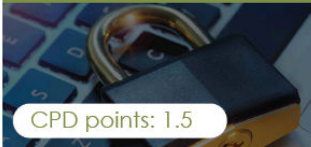
Further your knowledge of the CRS, its implementation timeline, and the associated reporting, compliance and due diligence requirements.



CPD points: 2

General Data Protection Regulation (GDPR)

Find out what organisations need to do to protect the personal information they hold under the GDPR, and how it gives individuals powerful data rights.



CPD points: 1.5

Foreign Account Tax Compliance Act (FATCA)

US law FATCA aims to reduce tax evasion by US citizens holding assets abroad. Gain an understanding of FATCA, the required due diligence and more.



CPD points: 1

Problem Solving

Whether dealing with problems alone or as part of team, find out the ways you can get to the root of any problem and find the best possible solution.



CPD points: 1.25

Project Management

Learn the ins and outs of project management from the initial stages, the roles and responsibilities involved, through to the implementation and output of a successful handover and close-out.



CPD points: 1.5

Mindfulness

Mindfulness helps to bring our focus and attention into the here and now and seeks to break the cycles of negativity in how we view ourselves and the world around us. Read the tips and methods within this module.



CPD points: 1.25

Conflicts of Interest

There are a number of ways that conflicts can be properly managed. Explore examples of conflicts of interest, tools, policies and procedures, enforcement action, and good practice.



CPD points: 0.75

Big Data

Review the impact of big data across business lines, from asset management and securities trading, to payments, insurance and more. Also consider privacy concerns and the regulations addressing these.



CPD points: 1

Disaster Recovery

The module outlines the key components of robust plans required for organisations to remain operational following events that could significantly disrupt the flow of business.



CPD points: 1.5

Green Bonds and Asset-Backed Securities

These products offer an alternative for investors concerned with the environmental and ethical impacts of their money. This module evaluates the types of bonds and securities available.



CPD points: 2

Presentation Skills

Find out more about the importance of this soft skill, including the various types of presentations, how to prepare and structure them, how to utilise visual aids and delivering a presentation with confidence and conviction.



CPD points: 1.25

Public Speaking Without Fear

This module serves as an introduction to mastering the ability to communicate effectively in front of an audience, commonly known as public speaking.



CPD points: 1.75

Self-management

Look at the key factors and benefits of self-management, the strategies for getting organised, and how to improve the accountability of you and your team.



CPD points: 1.25

Influencing Teams

Influencing others is an essential life skill that anyone who wishes to thrive and succeed should master. Learn the methods of exerting influence, common influencing skills and more.



CPD points: 0.75

Non-Executive Directors' roles

Gain an understanding of Non-Executive Directors (NED), their roles, the regulatory environment for them, how they are changing, and what makes a good NED.



CPD points: 1.25

Promoting Ethics and Integrity in Financial Services in Mauritius

Gain a certificate from CISI's online test

Professionalism is guided by behaviour and it is important to uphold the highest standards of Integrity. Taken more than 84,000 times, the CISI's online IntegrityMatters test is based on dilemmas practitioners may face at work, challenging individuals' ethical thinking to help users be more aware of the need to act with integrity when making decisions in the workplace.

1 hour
CPD

Dilemma Example:

You are the Senior Manager of an investment bank. You are made aware that the bank's newest product, which is being sold by (and marketed under the name of) a leading insurance company and is both highly successful and profitable, may not be being promoted with all of the associated risks clearly explained. Your bank's connection is only disclosed in the product's small print, and delaying the launch could cause financial losses to an already tight budget as well as damage the relationship with the insurance company.

What, if anything, should you do?

Take the test and show your professionalism, to register contact trainings@mauritusfinance.com
Visit cisi.org/integritymatters for more details

+230 464 8409