

# ICMA Centre To Partner CISI And FINRA On Diploma In Investment Compliance



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The ICMA Centre at the Henley Business School, The Chartered Institute for Securities and Investment (CISI) and the Financial Industry Regulatory Authority (FINRA) of the US have announced that they have joined forces to support and enhance education, training and certification in financial compliance.

The CISI is the largest and most widely respected professional body for those who work in the securities and investment industry in the UK and abroad. It has developed a suite of well recognised and supported programmes centered around product knowledge and regulation to support practitioners in the financial services industry.

Since 2006, the ICMA Centre and FINRA have developed and offered a highly regarded Diploma in Capital Markets Regulation and Compliance aimed at mid-level securities professionals. With the development of the CISI's Diploma in Investment Compliance, the industry was faced with two separately recognised routes to certification, and it was agreed that, by joining forces, the parties can work together to enhance the professional credentials of capital market practitioners in the UK better.

The agreement will mean that those who have already achieved the Diploma in Capital Markets Regulation and Compliance will become members of the CISI and those with a partially completed qualification will receive appropriate exemptions from the jointly supported Diploma in Investment Compliance. In addition, the ICMA Centre will work with the CISI to deliver advanced certification for those who have completed the Diploma in Investment

Compliance and whose needs are for expanded coverage of topics required by senior compliance staff on financial institutions. Additional details will be published at [cisi.org](http://cisi.org) in the future.

In announcing this new collaboration, Simon Culhane, Chartered FCSI and CEO of the CISI said: "We are very pleased to be working with the ICMA Centre and FINRA - two highly respected institutions that have a long history in capital markets education and training."

Professor John Board, Director of the ICMA Centre added: "Merging of these qualifications will lead to a cleaner and better defined route to the professional certification and demonstration of competence that is so much in demand following the financial crisis."

Paul Andrews, Vice President and Managing Director of FINRA, noted that "...this combination is the next logical step in our four-year partnership with the ICMA Centre. By joining forces, we are able to create an even more robust programme."

### **About the ICMA Centre**

The ICMA Centre at Henley Business School, University of Reading has an international reputation for being the premier institution in Europe for academic and [executive education](#) for financial markets, including studies into [investment management](#), [corporate finance](#) leading to students attaining their [financial degrees](#). Established in 1991 with funding provided by the International Capital Markets Association (ICMA), the Centre is housed in a purpose-built modernist building with state-of-the-art facilities including three dealing rooms. The Centre recently opened its new extended facilities including an additional flagship 40-seat dealing room equipped by Thomson Reuters.

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