

Chartered Institute for Securities & Investment (CISI)

Qualifications for Securities Industry Essentials (SIE) Exemption

A pass result for the following CISI exams (or combination of exams) qualifies an individual for the SIE exemption.

If the CISI exam date is in 2018 or after
Must have passed the following Foundation 1 exam:
Fundamentals of Financial Services
Must have passed one of the following Foundation 2 exams:
The Foundation Qualification – Introduction to Investing
International Introduction to Investment Certificate for Introduction to Securities & Investment
Must have passed one of the following Qualifying 3 or 4 exams:
International Certificate in Wealth & Investment Management
Combating Financial Crime
Global Financial Compliance
Risk in Financial Services
Investment Operations Certificate
Technology in Investment Management
Capital Markets Programme
Certificate in Corporate Finance
Certificate in International Advanced Wealth Management
Investment Advice Diploma
Certificate in Paraplanning
Managing Operational Risk in Financial Institutions
Investment Management

If the CISI exam date is prior to 2018
Must have passed one of the following exams:
Certificate in Securities or Securities Unit
Certificate in Derivatives or Derivatives Unit
Certificate in Financial Derivatives
Investment Advice Diploma
Investment and Risk Unit
International Certificate in Wealth & Investment Management
Certificate in International Advanced Wealth Management
Certificate in Paraplanning
Combating Financial Crime
Managing Cyber Security
Risk in Financial Services
Global Financial Compliance
Investment Operations Certificate
IT in Investment Operations
Capital Markets Programme
Certificate in Corporate Finance
Investment Management