



Short online course with test and certificate



Vulnerable Customers

What is the Vulnerable Customers Professional Assessment?

The appropriate treatment of vulnerable customers is a key concern for regulators all over the world, in the financial services sector and beyond. Keeping these customers safe is both a regulatory requirement and a moral imperative, so firms must be proactive in identifying them and providing the best possible service. This self-learning module will help enhance your understanding of the key issues you need to consider and to help you understand your duty of care.

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 assessment certificate when you pass
- Covers all the fundamental information needed by practitioners working in financial services to identify and support vulnerable customers
- Enhances understanding of all the key elements from a global perspective
- Can be taken anytime and anywhere on any device
- Includes information from key regulators on duty of care responsibilities and external articles to support knowledge in this subject

"It is so important for those working in financial services to understand how they should handle vulnerable customers, so we recommend this module to anyone in the sector who is looking to enhance their knowledge in this area. This professional assessment provides short and concise self-learning accessible wherever you are."

Kevin Moore, Chartered FCSI, Global Business Development Director, CISI

Who should study the Vulnerable Customers Professional Assessment?

- Wealth, Investment and Asset Managers
- Financial Planners and Independent Financial Advisors
- Those working in banking, insurance, exchanges and giving financial advice to customers
- Those developing products and services for financial institutions

Module content includes:

- Definitions and current research
- Guidance and regulatory principles
- Vulnerability and capability
- Oversight and categorisation
- Developing new products or services
- Developing a robust policy
- The role of communication
- Importance of record keeping and GDPR considerations
- Protecting consumers globally

Purchase this Professional Assessment today

Professionals are encouraged to take this professional assessment without delay.

Cost: £60 for CISI Members. £71 for non-members

Duration: 120 minutes study time, followed by a 60-minute test comprising 30 questions

Pass mark: 73%

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

Visit: www.cisi.org/vulnerablecustomers to register your firm and candidates.

Other learning resources

The CISI also offers a range of qualifications that may be of interest, as well as Professional Refresher elearning modules, extensive additional learning on our CISI TV channel and our members' magazine *The Review*.