

# CII Level 4 Certificate in Securities Advice and Dealing

Qualification specification



Thank you for considering study with the CII.

This specification summarises the purpose and the content of this qualification to help you decide whether it meets your learning needs. The qualifications section of the CII website, unit syllabus documents and CII policies provide further detail on the features summarised here.

## Qualification overview

The **CII Level 4 Certificate in Securities Advice and Dealing** is a qualification designed to develop and assess the detailed knowledge and skills required to deliver or support advising on, or dealing in, securities.

### Who is this qualification for?

This qualification is particularly appropriate for:

- Anyone seeking to advise on, or deal in, securities.
- Anyone working in a related support role looking to develop their knowledge of the market.

### Benefits for individuals and employers

The CII Level 4 Certificate in Securities Advice and Dealing satisfies the FCA's appropriate qualification requirements for those advising on, or dealing in, securities, and develops an in-depth knowledge of investment and securities products, the UK taxation system and considerations for appropriate investment recommendations.

This will enable you to meet the qualification requirements to practise in this area and expand your areas of expertise in your professional practice.

### Summary of content

The Certificate involves completion of four compulsory units that cover the financial services market and regulatory context, investments, taxation and a detailed technical understanding of different securities and the skills that need to be applied in advising on and dealing in securities.

## Entry and professional completion requirements

### Entry requirements

There are no entry requirements for this qualification.

### Additional completion requirements

There are no additional completion requirements for this qualification.

## Qualification structure

You will need to complete the following four units.

(R01) Financial services, regulation and ethics <i>20 CII Credits</i>	(R02) Investment principles and risk <i>20 CII Credits</i>	(R03) Personal taxation <i>10 CII Credits</i>	(J12) Securities advice and dealing <i>20 CII Credits</i>
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## Learning and assessment

### Learning materials provided

For units in this qualification, students typically have access to the following materials as part of their enrolment or for an additional price:

- Study text (digital only or printed and digital) with online updates
- Online support including exam guide via RevisionMate

Additional resources may be available for some units.

### Study time

Specific study time guidelines are provided for each unit on its webpage and in the CII qualifications brochure. The notional Ofqual 'Total Qualification Time' for this qualification is 240 hours.<sup>1</sup> This represents the time a student might typically take to complete the qualification.

### Assessment format

Each unit is assessed by a single multiple-choice on screen exam, exams are available weekly at UK and non-UK online exam centres or via remote invigilation. The qualification award will be graded pass/fail.

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To be awarded this qualification, each unit must be passed. The nominal pass mark for each unit within this qualification can be found on the relevant unit page. Please note, pass marks may vary from examination to examination to take account of the relative difficulty of examinations presented to candidates, ensuring that the pass standard remains constant.

We regularly update our qualifications, units and assessments to maintain industry relevance and assessment standards.

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<sup>1</sup> 'Total Qualification Time' is a term that awarding organisations are required by Ofqual (the qualifications regulator in England) to use to describe the size of qualifications. <https://www.gov.uk/guidance/awarding-organisations-understanding-our-regulatory-requirements>

## **Further information on learning and assessment for each unit**

Please ensure that you refer to the individual unit syllabus for unit-specific details:

- learning outcomes and assessment criteria
- further reading and resources
- important notes, such as the tax and legislative position that will be assessed

This is available in our syllabus menu on the qualification webpage:

[https://shop.cii-group.org/certificate-in-securities-advice-and-dealing-cert\\_sad.html](https://shop.cii-group.org/certificate-in-securities-advice-and-dealing-cert_sad.html)

Please also select your unit from the webpage to find out about any unit updates.

## **Important assessment policies**

Details of terms and conditions which apply to candidates entering for assessments with the CII are set out on the CII website. By entering any assessment with the CII you agree to be bound by these terms and conditions and our assessment policies.

## **Fair access to our qualifications**

The CII acts at all times to ensure that no unfair barriers apply to those seeking to gain the qualifications it offers. If, due to disability or illness, you may require adjustments in order to access an assessment, please read the access arrangements and reasonable adjustments policy and contact the CII Customer Service team as soon as possible to discuss how we can meet your needs. Further details are provided on our website.

## Qualification Fees<sup>2</sup>

Please note these fees are based on non-CII members taking the qualification in the UK, following a typical route to completion and using digital only options where available. Costs may vary for those residing outside the UK and depending on the route to completion. Substantial discounts are available to members and are detailed on the individual unit shop pages.

**Standard Qualification Fee** £612.00

**Package Fee** NA

### Associated Learner Fees

#### Annual

Non-Mandatory Annual Membership £80.00 per annum  
(Assumes entry level membership)

#### One off

Digital enrolment	£408.00
Digital and printed enrolment	£488.00
Digital only enrolment plus	£565.11
Digital and printed enrolment plus	£634.32
Key facts booklet (Printed and Digital)	£108.00
Key facts booklet (Digital Only)	£90.00
Knowledge checker	£90.00
E-learn	£127.50
Audio revision	£127.50
Study text update (Digital only)	£224.00
Study text update (Printed and Digital)	£268.00

For post results services, please click [here](#)

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<sup>2</sup> The terms, 'Standard Qualification Fee', 'Package fee' and 'Associated Learner Fees' are defined by our regulators, Ofqual, CCEA and Qualifications Wales, to create consistency between UK-based awarding organisations. It is a regulatory requirement to illustrate our pricing in this way. The total price paid will depend upon specific pathway chosen, membership status and local currency. Further pricing information by unit and component relevant to your specific pathway remains available on your qualification webpage. The table below describes what each fee indicates.

Fee	Description
Standard Qualification Fee	The standard total fees payable for the assessment elements of the core qualification throughout a typical course of study.
Package Fee	Where applicable, the total of the fees payable for mandatory learning materials elements of the core qualification throughout a typical course of study.
Associated Learner Fees	Additional fees for optional services payable: <ul style="list-style-type: none"><li>• at the learner's discretion.</li><li>• in specific circumstances only; or,</li><li>• for additional study requirements prior to completing this qualification.</li></ul>