



DSI Continuing Professional Education Regulations

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DSI Regulations

Article 1

Any person registered in one of the following DSI registers:

- DSI Retail Investment Information Provider
- DSI Retail Investment Advisor Standard Products
- DSI Retail Investment Advisor Custom Products
- DSI Institutional Investment Information Provider
- DSI Institutional Investment Advisor
- DSI Treasury Information Provider
- DSI Treasury Advisor
- DSI Investment Analyst
- DSI Securities Trader
- DSI Compliance Professional

must meet the requirements for continuing education stipulated in Article 4.4 of the DSI General Regulations. These requirements are elaborated in more detail in this regulation document.

Article 2

As of 1 January 2020, any individual with a (candidate) certification in one of the DSI registers on 1 January of each calendar year must participate in a Continuing Professional Education programme offered by a DSI-accredited educational institution. The DSI website ([dsi.nl/en](https://www.dsi.nl/en)) offers an up-to-date list of accredited educational institutions.

Article 3

Enrolment in an accredited Continuing Professional Education programme is the responsibility of the individual (candidate) certified professional.

Article 4

In accordance with the accreditation conditions, the programme offered by accredited educational institutions includes at least the contents listed in the 'Continuing Professional Education Learning Objectives Document'..

Article 5

Certified Professionals or Candidate Certified Professionals are exempt from the DSI Continuing Professional Education requirement during the first calendar year in which they are registered with DSI.

Article 6

Certified Professionals must have successfully completed the Continuing Professional Education programme by 1 January of the next calendar year. Successful completion requires correct answers to at least 80% of the questions.

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Artikel 7

Certified Professionals who have not successfully completed the 80% correct answer requirement by 1 January, will have until 1 April of the calendar year following the start of the programme to meet the requirement.

Article 8

Starting from the month of February in each calendar year, the register will be updated to state whether the (Candidate) Certified Professional has met the applicable Continuing Professional Education requirements for the previous calendar year.

Article 9

Certified Professionals who have not met the requirement stipulated in Article 7 by 1 April of the calendar year following the start of the programme will be listed as a Candidate Certified Professional, rather than as a Certified Professional. A note will be made to that effect in the public register.

Article 10

A Certified Professional who has been relegated to the status of Candidate Certified Professional on grounds of the provision in Article 9, may return to the register as a Certified Professional if the individual can meet the following requirements.

If the individual is certified in the registers Retail Investment Information Provider, Retail Investment Advisor Standard Products, Retail Investment Advisor Custom Products, Institutional Investment Information Provider, Institutional Investment Advisor, Treasury Information Provider or Treasury Advisor must have passed the applicable knowledge examination.

If the individual is certified in the registers Investment Analyst, Security Trader or Compliance Professional, then the individual must have satisfied the training or examination requirements that are applicable at that moment.

Article 11

Certified Professionals who have not met the requirement stipulated in Article 7 by 1 April of the calendar year following the start of the programme will be listed as not having met the applicable requirements for Continuing Professional Education.

Article 12

If a Certified Professional possesses multiple certifications, then the individual must complete the Continuing Professional Education requirements for each register. If a Certified Professional maintains certifications for both Information Provider and Advisor for the conduct of their specific duties, then only the requirements for the Advisor programme shall apply.

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Article 13

When an individual changes registers during the year in which they are required to complete the Continuing Professional Education programme, then the following shall apply:

- When changing from Advisor to Information Provider (or vice-versa) in the same register, the Certified Professional may continue with the current programme for that year.
- When changing to a position with substantially different duties and the change of register is requested before 1 July, then the Continuing Professional Education requirement for the new register will go into effect immediately. When the change of register is requested after 1 July, the Certified Professional may continue working to complete the original programme. The Certified Professional is also permitted to complete the programme for the new register, however. In both cases, Articles 6 and 7 of these regulations shall remain in effect.
- When changing from the Information Provider register to the Advisor register, the individual is exempt from the Continuing Professional Education requirement for the year in which the individual has successfully completed the knowledge exam for the higher register. This also applies when changing from the Retail Investment Advisor register to the register for Retail Investment Advisor Custom Products.

Article 14

The exemption stipulated in Article 5 does not apply if a new (candidate) certification is requested within two years of the termination of a (candidate) certification.

Article 15

Certified Professionals or Candidate Certified Professionals who have not been able to complete the Continuing Professional Education requirement due to exceptional circumstances may submit a letter to DSI explaining the circumstances and requesting an exceptional exemption from the requirement for the applicable year.

Article 16

The board of DSI is authorised to decide on cases that have not been foreseen in these regulations.

If you have any questions
about this document,
we are happy to assist you.
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