



# DSI Certification

For a reliable and honest financial sector



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# Foundation DSI

Honest and competent professionals are vital for a properly functioning financial sector. As a client, you should be able to trust advisors who are experts in their field, and whose knowledge is tested regularly and kept up to date.

## High quality of skills and ethical norms

DSI Foundation was created to ensure a high quality of competencies and ethical norms among DSI Certified Professionals, to strengthen and maintain the public's trust in the financial sector.

A circular inset image showing a woman with dark curly hair, smiling and looking towards the camera. In the background, two men are visible, one holding a folder, suggesting a professional office environment.

'Almost 5.000 professionals are certified with DSI'

For integrity and expertise in the financial sector



# DSi Core Principles

At DSI, ten core principles are central to our Code of Conduct. They provide financial professionals with guidance to act with integrity every day and strengthen trust in the sector.

## 10 Pillars of Integrity



'Every DSI certified individual commits to these principles'

For financial institutions



# DSI Certification

An honest and reliable financial sector is in the public's interest. Society must be able to trust the financial markets and the financial enterprises working in those markets. The competency and integrity of these enterprises' employees serves as the foundation for that trust. DSI Certification shows that professionals in the financial sector are competent and aware of the latest developments in the areas of integrity, knowledge and skills.

## Together with the sector

DSI Certification was developed at the request of the most important players in the financial sector. DSI only certified employees working at a DSI Foundation Participant. These may include employees with a contract or self-employed freelancers.

'DSI Certification was developed in cooperation with the financial sector'



# Proof of competency

A DSI Certified Professional can make a difference:

- ☒ Some registrations comply with the required European ESMA Guidelines
- ☒ Has been screened by Validata
- ☒ Trained to recognise and deal with integrity dilemmas
- ☒ Proven expertise and competency
- ☒ Listed in the DSI Public Register
- ☒ Required annual testing via DSI Continuing Professional Education
- ☒ Complies with the DSI Code of Conduct
- ☒ Subject to DSI Ethics Enforcement

'As an independent foundation, DSI promotes integrity and expertise within the financial sector.'

# DSI Participants

Financial enterprises play a prominent role in DSI's work. DSI was created as a self-regulation institute in consultation with these partners. Together with them, the participants, DSI promotes an honest, competent investment sector. If your enterprise possesses an AFM license, your organisation may join DSI as a participant.

## **Certification only via DSI participants**

Only employees of an organisation that is a DSI participant may become certified. It is therefore vital for you to join as a participant first. Then you can request registration for your employees.

## **Represented by the entire sector**

More than 300 enterprises from the financial sector have become DSI participants. They range from banks and asset managers to pension funds and insurance firms.



'More than 300 organisations are DSI participants'



# Your company as a DSI participant

The benefits of your organisation's participation in DSI include



**Operational integrity** | You comply with the legal obligation to ensure integrity in your operations.



**ESMA Guidelines** | DSI-certified employees meet the legal obligations of the European ESMA Guidelines. Thanks to a covenant between the AFM and DSI, member organisations no longer need to prove compliance themselves.



**DSI makes it easier for you** | The competency of your employees is easily displayed via the DSI Employer Portal, so you do not need to keep the relevant administration yourself.



**You maintain control** | You have a real-time overview of the status of your employees' certifications and candidate certifications.



**Insight and overview** | You can view the figures and data you need for internal use and to answer requests for information by the AFM at any time.



# DSi registers

DSi maintains 12 registers for the certification of professionals in the investment sector: the DSI Integrity register and 11 registers for professional groups, divided among the ESMA Registers and the Specialist Registers.

DSi collaborates with committees of professionals from the sector to determine the learning goals for the exams and the Continuing Professional Education programmes. This helps embed real-world knowledge.

## ESMA Register

DSi Retail Investment  
Information Provider

[More information →](#)

DSi Retail Investment  
Advisor Standard  
Products

[More information →](#)

DSi Retail Investment  
Advisor Custom  
Products

[More information →](#)

DSi Institutional  
Investment  
Information Provider

[More information →](#)

DSi Institutional  
Investment  
Advisor

[More information →](#)

DSi Treasury  
Information  
Provider

[More information →](#)

DSi Treasury  
Advisor

[More information →](#)

## Specialists Register

DSi  
Securities Trader

[More information →](#)

DSi Investment  
Analyst

[More information →](#)

DSi Compliance  
Professional

[More information →](#)

DSi  
AML Register

[More information →](#)

DSi Register  
Integrity

[More information →](#)



Click on one  
of the registers  
for more  
information.



# Which conditions does DSI place on admission to a register?

Certain requirements apply for the admission of professionals to a register and for maintaining certification. These pertain to the admission requirements for the completion of the compulsory Continuing Professional Education program

## Knowledge exams



To be certified in a specific register, a candidate must have successfully completed a knowledge exam at one of the accredited educational institutions. The exams and conditions differ per register.

## Skills testing



For certification in one of the ESMA registers (European Securities and Markets Authority), professionals must meet the competency requirements listed in the MiFID II (Markets in Financial Instruments Directive II) and the ESMA Guidelines. This also includes a skills test. The exam proves that the professional possesses the necessary skills to perform their work in a competent manner.

DSI accredits educators with the help of an accreditation committee.

# Which conditions does DSI place on admission to a register?

## DSI Integrity Program



A professional must have successfully completed the DSI Integrity Program. This program consists of an e-learning module by the Netherlands Compliance Institute, and several registers also require the completion of a supplemental workshop.

## Work experience



During a 12-month period (full-time basis) over the past five years, a Certified Professional has spent a substantial portion of their time on work activities related to the register, either in their current position or in previous positions.

## Continuing Professional Education



Every Certified Professional is required to complete the Continuing Professional Education program each year. This helps Certified Professionals keep their knowledge and competency up-to-date. The Continuing Professional Education program may be completed at one of the accredited educational institutions.



# Digital Application Process

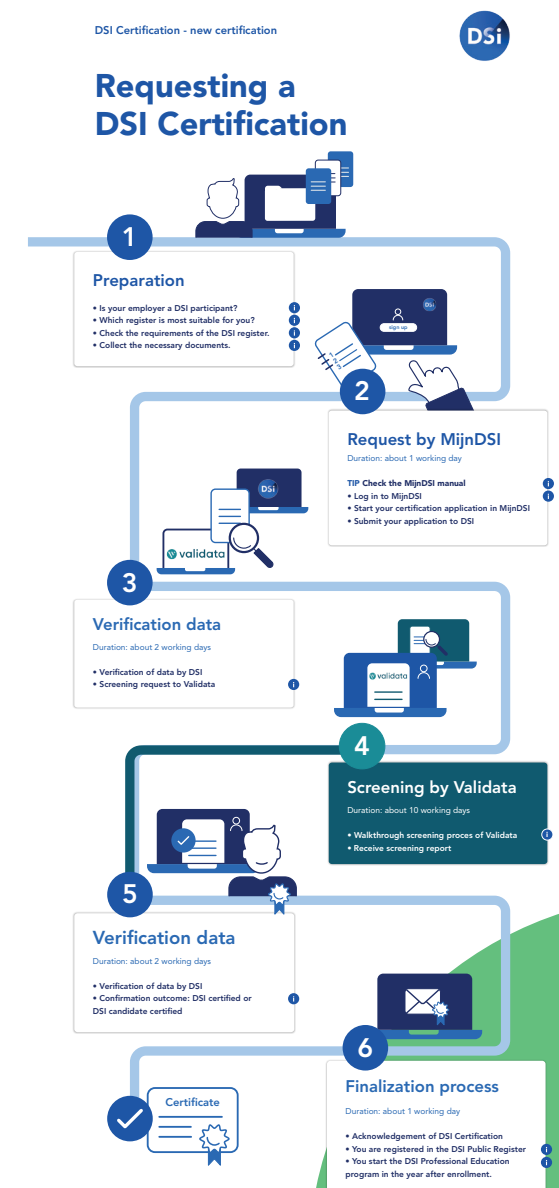
There are several steps involved in requesting or changing a certification. MijnDSI is the main tool used for this process. The diagram to the right explains the process in more detail.

## Starting the application process

To request certification in one of the DSI registers, the professional must begin a certification application in MijnDSI. This is a secure online portal where professionals can request, view and change certifications.

## Screening by Validata

A screening is a standard element of the DSI certification procedure. This applies both to a new certification application and to changes to existing certifications. The screening is conducted by Validata, an external organisation specialised in employment screening.




# Employer portal

DSI offers employers an overview of their employees' various activities with DSI via the special employer portal in the MijnDSI environment. So you as an employer always have insight into their progress, and you can see if employees have completed their exams or Continuing Professional Education programs.

## Dashboard

The Dashboard allows you to manage all of the certification requests linked to your organisation. You have immediate insight into the status of a certification request. As an employer, you can also invite employees to apply for certification.



Via MijnDSI, you always have insight into the status of your employees' certification requests



# DSI Public Register

Professionals in the investment sector who are certified by DSI are also listed in our Public Register. Whoever wishes to do business with a professional can find their name in the register.

## **Certified Professional or Candidate Certified Professional**

Both Certified Professionals and Candidate Certified Professionals are listed in the DSI Public Register. Both must comply with the Code of Conduct drawn up by DSI. The difference lies in whether the professional has completed a relevant study programme or has relevant work experience.

## **DSI Ethics Enforcement**

A DSI Certified Professional or Candidate Certified Professional must comply with the DSI Code of Conduct pertaining issues such as expertise and integrity. DSI Ethics Enforcement is the tool for enforcing compliance with the Code of Conduct.



Every Certified Professional is listed in the DSI Public Register.

# Personal contact

We would be happy to show you what DSI can mean for you and your employees. So we are pleased to offer the following services:



Personal presentation about DSI for you and your colleagues



At a time that is convenient for you.

Send an email to  
[relatiebeheer@dsi.nl](mailto:relatiebeheer@dsi.nl)  
and leave your  
contact details

Start your employees'  
certification process today

[www.dsi.nl/en/for-employers](http://www.dsi.nl/en/for-employers)  
020 620 12 74  
[relatiebeheer@dsi.nl](mailto:relatiebeheer@dsi.nl)

