

**Securities & Investment Institute (SII) Examination Regulations**

**1. Qualification Registration Form (QRF)**

Candidates are required to complete a QRF. The form should be completed on-line prior to the examination ([sii.org.uk/QRF](http://sii.org.uk/QRF))

Official notification of results will not be released until a QRF is completed.

In addition, a one off registration fee is payable at the time of booking for each qualification. From 1<sup>st</sup> April 2009 the fee for candidates in the UK, Channel Islands and Isle of Man will be £45-00, and for international candidates the fee will be £25-00. The registration fee does not affect the Student Membership entitlement. Payment of the Qualification Registration Fee entitles a candidate to free student membership of SII for one year from the date of registration. For information regarding the benefits of student membership, please go to: <http://www.sii.org.uk/web5/infopool.nsf/HTML/mStudent-Membership>

If you do not wish to take advantage of free student membership, please send an email to the Membership Department ([studentmembership@sii.org.uk](mailto:studentmembership@sii.org.uk)). (Please note that Student membership for Advanced Certificate, Diploma and SII Masters qualifications is compulsory)

**2. Identification**

Please note, all identification needs to be valid i.e. the date on the identification must not have expired.

- 2.1 The identification that candidates bring to their examination **must** bear the exact name that their examination has been **booked** under. If the name on a candidates' identification does not match the name that their examination was booked under, they will **not** be allowed to sit. Candidates are responsible for ensuring that, in the event that a third party will be booking an examination on their behalf, they pass on their correct personal details to the relevant parties.
- 2.2 Candidates must show proof of their identity (other than the entry acknowledgement letter) to any SII examination official who requests it.

Candidates **must** bring to the examination:

- Personal identification, which includes a photograph (**it must resemble your current appearance**), name, and signature, and their confirmation letter;
- Candidates who have recently changed their name need to refer to the SII Name change policy:  
[http://www.sii.org.uk/web5/infopool.nsf/HTML/qbooking\\_policies](http://www.sii.org.uk/web5/infopool.nsf/HTML/qbooking_policies)

**2.3 Acceptable forms of ID**

Candidates' personal identification must clearly show their photograph, name and signature. The photograph must resemble your current appearance. One of the following documents is acceptable for this purpose: -

- (a) A **valid** Passport of any country.
- (b) A **valid** full or provisional new style UK driving licence issued by DVLA or DVLNI, or Guernsey, Isle of Man or Jersey driving licence with photograph. The photograph on the licence must resemble your current appearance.
- (c) An official employee pass with photograph issued by the candidate's firm. ***The name of the candidate and the firm must be stated directly on the pass. If this document does not bear your signature you will also be required to produce a valid credit or debit card that bears your signature.***
- (d) A signed declaration from a Senior Manager or the HR Department at the candidates' employer. It must be supplied on official stationery accompanied by the candidate's photograph. The declaration must certify that the candidate is an employee of the firm and must clearly state the name, position and contact details of the person signing the declaration. We recommend that the person certifying the candidate's identification attaches their business card to the letter. In addition the employer must endorse and sign the reverse side of the photograph. ***The same person needs to sign the letter and photograph.*** The endorsement must read: -  
"I certify that this is a true likeness of (NAME)"  
***If this document does not bear your signature you will also be required to produce a valid credit or debit card that bears your signature.***
- (e) Securities & Investment Institute Identity Check Form. This is only acceptable if no other identification is available. This will need to be signed by a doctor at your doctors surgery. For details, contact Client Services.
- (f) A **valid** National Identity card from an EU country. In addition, for examinations taken outside the EU, **valid** National Identity cards are acceptable when issued for the county where the examination is being taken e.g. a Dubai National Identity card is acceptable in Dubai only. ***If this document does not bear your signature you will also be required to produce a valid credit or debit card that bears your signature.***

#### 2.4 **Non-acceptable forms of ID**

Please note: International driving licenses, EU Driving licenses, Rail cards, Capital cards, Photo cards, Student photo cards or photo credit cards are not acceptable. In all cases ID must be original, photocopies are **not** acceptable.

This identification will be checked prior to the examination. If a candidate does not comply with these requirements they will **not** be permitted to sit the examination and will **not** be entitled to a refund of the examination fee.

Candidates should call Client Services on 020 7645 0680 prior to their examination date if they are not sure whether their ID will be accepted at the examination centre.

### 3. **Permitted Examination Materials**

#### **Candidates taking Computer Based Testing (CBT) Examinations**

- 3.1 Candidates must leave the following in a locker or other area specified by the Invigilator: Briefcases, bags, books (including dictionaries), revision notes, mobile phones, and other personal belongings. No reference material, books, revision notes

or digital / programmable equipment including watches are allowed into the examination room. The SII accepts no responsibility for the loss of any valuables.

From 1st November 2008 candidates taking CBT examinations in English must use the on-screen calculator. The only exceptions is for Islamic Finance Qualification (IFQ). For this examination and examinations not in English, the Casio fx-83MS calculator will be provided at venues in the United Kingdom, Dublin, Guernsey, Isle of Man and Jersey. For the IFQ and examinations not in English taken internationally, candidates must take their own non-programmable calculator; calculators will not be provided at the international examination venues. If you would like more details and to practise using the on-screen calculator, please use this link to our website:

<http://www.sii.org.uk/web5/infopool.nsf/HTML/qonscreencal?Opendocument>

Candidates who are taking Unit 02 - Corporate Finance Technical Foundation, Unit 05 – Investment Management or International Investment Management will find an instruction sheet by their computer in the examination room explaining how to use the on-screen calculator for certain calculations. This can be viewed using the above link.

### **Candidates taking Written Examinations**

- 3.2 Candidates must leave the following in a locker or other area specified by the Invigilator: Briefcases, bags, books (including dictionaries), revision notes, mobile phones, and other personal belongings (except for stationery required for the examination\*). No reference material, books, revision notes or digital / programmable equipment including watches are allowed into the examination room. The SII accepts no responsibility for the loss of any valuables.

\* All candidates in the UK, Guernsey, Isle of Man and Jersey will need to bring with them and use a black pen, (ruler and highlighter optional). The SII will provide CASIO fx-83MS calculators for all candidates (instructions for use can be found on the SII website on the link:

<http://www.fsqc.co.uk/SI%20Calculators%20Instructions.pdf>

If Candidates wish to use their own updated version of the CASIO calculator it must meet the requirements of the SII. Updated information can be found on the SII website on the link:

<http://www.sii.org.uk/web5/infopool.nsf/HTML/qdipwhat?OpenDocument>

Candidates sitting examinations internationally *must* bring with them and use a black pen, (ruler and highlighter optional) and a *non-programmable* calculator. ***Calculators will not be provided at the venues.***

## **4. Entry and Exit to Examinations**

### **Examinations delivered by Computer Based Testing (CBT)**

- 4.1 Candidates are required to arrive at the examination venue at least 20 minutes prior to the start of the examination. You may not be allowed to enter the examination room if you arrive late for the examination.
- 4.2 Candidates may leave at any time. Candidates wishing to terminate their examination early and leave the examination room may do so but they must show consideration to those candidates who are still working.

## **Examinations delivered by pencil and paper – Advanced Certificates, Diploma, SII Masters and Pilot examinations**

- 4.3 Candidates are required to arrive at the examination venue 30 minutes prior to the start of the examination. You may not be allowed to enter the examination room if you arrive less than 15 minutes prior to the scheduled examination start time.
- 4.4 Candidates wishing to terminate their examination early and leave the examination room may do so after the first 30 minutes have elapsed, but they must show consideration to those candidates who are still working. However, candidates are required to remain seated for the final 15 minutes in order to avoid disruption to other candidates still working.

### **5. Unprofessional Behaviour**

- 5.1 Candidates' attention is drawn to the consequences of any unprofessional behaviour, which a candidate displays before, during or after the examination. Where it has been established that a candidate has behaved inappropriately, the SII reserves the right to contact the candidate's firm and the regulator may be notified. For these purposes unprofessional behaviour includes, but is not limited to, abusive, disruptive or aggressive behaviour, having reference material or revision notes on your person during the examination, cheating or attempting to cheat in the examination, copying by whatever means all or part of the examination content, having someone take the examination on your behalf (which may lead to both parties being reported), failure to disclose if you are a trainer and failure to act in accordance with the examination invigilator's instructions, failure to adhere to the SII Examination Regulations, altering or creating result documents, acting in any way that compromises or threatens to compromise the integrity of any examination, failure to report to the invigilator any clearly observed instances or suspicions of cheating by another candidate, making notes during the tutorial. Furthermore, candidates are prohibited from disclosing any part of the content of the examination to any person or organisation verbally, in writing or by electronic or other means of communication unless expressly given permission to do so by an employee of the SII. This includes disclosure to trainers or training companies.

***The SII reserves the right, and the examinations invigilator has the authority, to terminate the examination of any candidate suspected on reasonable grounds of unprofessional behaviour, and to have the candidate escorted from the examination room before the examination has finished. In these circumstances, the candidate's examination sitting will be void and no results will be issued nor examination refund / transfer awarded.***

- 5.2 The SII reserves the right where a candidate is suspected of unprofessional behaviour, to impose special conditions at the cost of the candidate for any subsequent sittings of the same or other examinations. The SII also reserves the right to bar such candidates from entering any of the examinations offered by the SII or to impose a time period during which examinations may not be entered. The SII may also take steps to reject any application for membership.

### **6. Liability**

Except for any liability of the SII for negligence, the SII's liability is limited to a full refund of the examination fee paid for the examination concerned.

## **7. Compliance with the Regulations**

7.1. The candidate undertakes to comply with these regulations and in the event of any failure to do so the SII may cancel the candidate's entry for the examination, terminate the candidate's participation in the examination and escort the candidate from the examination, or decline to issue the candidate with a result for the examination, and may notify the candidate's employer and / or regulator. In any such case, neither the SII nor the examinations invigilator nor his / her staff shall be liable for any loss (financial or otherwise) accruing to the candidate and / or their firm.

### **7.2 Re-sits - Computer Based Testing Examinations**

Candidates' who are unsuccessful in an examination, cannot re-sit the same examination subject until three clear days after their last examination date. For example, if a candidate sat an examination on Thursday, the earliest re-sit date would be Monday.

## **8. Assistance prior to and during Examinations**

8.1. Candidates who require wheelchair access must contact Client Services to make the necessary arrangements. However, candidates who are taking examinations a FE colleges / schools should contact the college / school where they intend to take their examination to make the arrangements.

8.2. Candidates who require assistance during the course of the examination must attract the attention of one of the invigilators only by raising their hand. No candidate may leave the examination room without the permission of one of the invigilators, who may require that the candidate be accompanied whilst out of the examination room.

## **9. Refusal of Entry**

9.1 The SII expressly reserves the right to refuse entry to an examination to any candidate who has previously passed the same examination, or who has sat the examination on several occasions. With reference to the latter please refer to the Multiple Sittings Policy on SII website

[www.sii.org.uk/web5/infopool.nsf/HTML/qbooking\\_policies](http://www.sii.org.uk/web5/infopool.nsf/HTML/qbooking_policies)

9.2 Candidates who are trainers tutors are subject to separate criteria, details can be obtained from the Client Services Department, Securities & Investment Institute, phone 020 7645 0680.

## **10. Candidates with particular assessment requirements**

10.1 The SII policy is to ensure that there are no unnecessary barriers to assessment that prevent candidates from effectively demonstrating their competence. At the same time, The SII has to ensure that candidates requiring special examination arrangements are not given any unfair advantages. For example, it is the policy of the SII that candidates for whom English is a foreign language would have an unfair advantage if given additional time to complete their examination; or taking other material into the examination room such as dictionaries.

- 10.2 Candidates with conditions such as dyslexia or sight impairment must notify the SII in writing (by letter or email) when making their examination booking if reasonable adjustments need to be made. All applications **must** allow seven days for CBT, or four weeks before the examination date to enable suitable arrangements to be made. Notification must be accompanied by an original letter from a Doctor or other appropriately qualified expert clearly outlining the reasons for their recommended adjustments in the context of the type of examination to be sat i.e. CBT / narrative. In the case of dyslexia this should indicate the extent of the condition. Normally, it is policy for such candidates to be given up to 25% further time to complete the examination. An examination date will be offered within 28 days of receiving the request.
- 10.3 Candidates are required to submit a request for special arrangements for each separate examination booking. Candidates for whom special examination arrangements are made will receive no additional consideration during the assessment of their result.
- 10.4 Candidates needing special consideration as a result of illness or accident on the day of the examination, or recent bereavement must send details to the Operations Manager at SII within 48 hours of the examination sitting. Candidates who are unable to attend their examination owing to bereavement, illness etc., may seek a re-sit at no additional charge. Any request for a free transfer / re-sit must be accompanied by an original doctors letter covering the examination date. No photocopies will be accepted.

## **11 Complaints & Appeals**

- 11.1 The assessment procedures of the SII are designed to ensure reliable, valid and accurate outcomes.
- 11.2 Complaints relating to the quality of the training providers, or quality of learning resources such as workbooks will only be considered in respect of the SII Accredited Centres and the SII approved learning resources. Candidates should note that examinations are based on the examinable syllabus, not on workbooks or training courses content.
- 11.3 Complaints about exam delivery issues  
Candidates who feel they have been affected by an examination delivery issue on the day of the examination must complete a 'Delivery Feedback form' within 48 hours of the examination. The form is available on the website at <http://www.sii.org.uk/web5/infopool.nsf/HTML/rhmfeedback>
- 11.4 Queries on assessment issues  
Candidates who wish to query an assessment issue and / or provide feedback on the content of an examination, must complete an Assessment Feedback form. The form is available on the website at: <http://www.sii.org.uk/web5/infopool.nsf/HTML/rhmfeedback>
- 11.5 Appeals  
Candidates' attention is drawn to the examination regulations. The SII reserves the right to bar candidates from its examination in the event of unprofessional conduct, either from candidates or tutors sitting the exam. Please see policy 4 for full details.

## **12 Force Majeure**

- 12.1 The SII shall not be liable to the candidate or be deemed to be in breach of its agreement to provide examinations and / or results to candidates by reason of any delay in performing, or any failure to perform, any of the SII's obligations, if the delay or failure is due to any cause beyond the SII's reasonable control. Causes beyond the SII's reasonable control shall include:
- (a) the non-availability (including due to sickness, injury or death) of any person employed or engaged by the SII to deliver the services who cannot by the exercise of reasonable endeavours be replaced or substituted;
  - (b) events or circumstances as a result of which any premises where the examinations are to be delivered shall be unavailable if suitable alternative premises cannot by the exercise of reasonable endeavours be found;
  - (c) an examination being terminated prior to its scheduled close (e.g. bomb threat, security evacuation, fire evacuation)
- 12.2 In such circumstances the SII may extend the time for performance of its obligations so affected and if the cause continues for longer than 30 days the SII may cancel the examination without liability to the candidate.

## **13. Miscellaneous**

- 13.1 The laws of England shall govern these regulations and their interpretation. Subject to regulation 10 the SII and the candidate submit to the non-exclusive jurisdiction of the English Courts.
- 13.2 If any provision of these regulations shall be illegal, invalid or unenforceable in any respect under any law or regulation such provision shall be severed from and shall not affect or impair the validity, legality and enforceability of the remaining provisions.
- 13.3 The examination papers are copyright material that belongs to SII.