

**TRAINING AND COMPETENCE SOURCEBOOK (QUALIFICATIONS
AMENDMENTS NO 12) INSTRUMENT 2015**

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 138C (Evidential provisions).
- B. The rule-making powers listed above are specified for the purposes of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 24 April 2015.

Amendments to the FCA Handbook

- D. The Training and Competence sourcebook (TC) is amended in accordance with the Annex to this instrument.

Notes

- E. In the Annex to this instrument, the “note” (indicated by “**Note:**”) is included for the convenience of readers but does not form part of the legislative text.

Citation

- F. This instrument may be cited as the Training and Competence Sourcebook (Qualifications Amendments No 12) Instrument 2015.

By order of the Board of the Financial Conduct Authority
23 April 2015

Annex

Amendments to the Training and Competence sourcebook (TC)

In this Annex, underlining indicates new text and striking through indicates deleted text.

Appendix 4.1.1E Appropriate Qualification tables

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Part 2: Appropriate Qualifications Tables

Note: A qualification is deemed an appropriate qualification if it appears in this table and is attained within the relevant time period, where one is indicated by the dates set out in the qualification column.

Qualification provider	Qualification	Activity Number(s)	Key
...			
<u>Calibrand / Chartered Institute of Bankers in Scotland</u>	<u>Diploma in Professional Financial Advice (Post 30/4/2014)</u>	<u>4 and 6</u>	<u>a</u>
Calibrand / Scottish Qualifications Authority	Diploma in Professional Financial Advice <u>(Pre 1/8/2018)</u>	4 and 6	a
...			
Chartered Institute of Bankers in Scotland	Diploma in Investment Planning (Existing Adviser) (Post 2010 examination standards <u>and Pre 1/6/2015</u>)	4 and 6	a
	Diploma in Investment Planning (New Adviser) (Post 2010 examination standards <u>and Pre 1/6/2015</u>)		
	Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards <u>and Pre 1/6/2015</u>)		
	Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards <u>and Pre 1/6/ 2015</u>)		
	Diploma in investment planning (work based assessment) <u>(Pre 1/6/2015)</u>		

	...		
...			
Chartered Institute for Securities and Investments (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)	...		
	Investment Operations Certificate – OTC Derivatives Administration Module	15, 16	6
	<u>Investment Operations Certificate - Platforms, Wealth Management and Service Providers</u>	<u>15, 16</u>	<u>6</u>
	...		
...			