## TC Appendix 4E – Appropriate Qualification tables

## (Unless otherwise indicated all qualifications are valid if awarded by examination only)

## Key for the qualification tables for activity numbers 2, 3, 4, 6, 12 and 13

a	Meets full qualification requirement up to and after 1 January 2013
b	Meets full qualification requirement up to 31 December 2012; and after 1 January 2013 when combined with qualification gap-fill. This gap-fill constitutes additional structured continuing professional development, which need not be by examination, completed and verified by an <i>accredited body</i> by 31 December 2012
с	Meets full qualification requirement up to 31 December 2012
d + e	Meets full qualification requirement up to 31 December 2012

## Key for the qualification tables for activity numbers 7, 8, 9, 10, 11, 14, 15, 16, 17, 18, 19, 20, 21, 22, 23

1	meets full qualification requirement
2 +3	meets full qualification requirement
4+5+6	Meets full qualification requirement

Qualification table for : Advising on (but not dealing in) securities (which are not stakeholder pension schemes or broker funds) – Activity number 2 in TC Appendix 1.1.1R

Qualification	Qualification provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	a
Chartered Financial Analyst Program Level 1	CFA Institute/ CFA Society of UK	a
plus Investment Management Certificate		
(Level 4 certificate) (post-2010 exam		

standards)		
Chartered Financial Analyst plus Unit 1 of	CFA Institute/ CFA Society of UK	a
the Investment Management Certificate		
(Level 4 certificate) (post-2010 exam		
standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	a
certificate) (post-2010 exam standards) plus		
other qualifications that meet specialist		
standards for advising on securities		
Chartered Financial Analyst plus Unit 1 of	CFA Institute/ CFA Society of UK	b
the Investment Management Certificate (pre-		
2010 exam standards)		
Chartered Financial Analyst Program Level 1	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	b
plus Investment Management Certificate	Institute of Investment Management and Research)	
(pre-2010 exam standards)		
Investment Management Certificate	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	с
	Institute of Investment Management and Research)	
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	b
	Investment Management and Research)	
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	b
	Investment Management and Research)	
Investment Advice Diploma (where candidate	The Chartered Institute for Securities & Investment	а
holds 3 modules including the securities		
module)		
Masters in Wealth Management (Post 2010	The Chartered Institute for Securities & Investment	а
examination standards)		
Masters in Wealth Management (pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Certificate in Private Client Investment	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Advice and Management		
Certificate in Private Client Investment	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Advice and Management (attained through		
competency interview and presentation only)		
Diploma (where candidate holds 3 modules	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
as recommended by the <i>firm</i> )		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
(where candidate holds 3 modules as		

recommended by the <i>firm</i> )		
Certificate in Securities	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	c
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	c
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	c
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	c
Investments (Investment Management)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	c
Investments (Securities)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Investments (Securities and Financial		
Derivatives)		
Certificate in Securities and Financial	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Derivatives – Retail		
SFA Securities Representatives Examination	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	c
Fellow or Associate	Faculty or Institute of Actuaries	a
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
(must include a pass in G70 paper)		
Associate or Fellow (life and pensions route	Chartered Insurance Institute	b
only)		
Registered Representative Full Membership	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment	b
Exams – where candidates hold all 3 papers	(Formerly the Securities and Investment Institute)).	
or have both the Stock Exchange Practice and		
Techniques of Investment papers		
BA (Hons) Financial Services, Planning and	Manchester Metropolitan University	a
Management		
TSA Registered Representative Examinations	The Securities Association (now The Chartered Institute for Securities and Investment (Formerly the	c
	Securities and Investment Institute))	
BA in Accounting and Finance	University of Stirling	b
BA in Finance	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance	University of Stirling	b
(where candidates hold modules as		
recommended by the <i>firm</i> )		
MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Diploma	Association of Belgian Financial Analysts	d

Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities course plus Conduct and Practices Handbook	Canadian Securities Institute	d
Investment Practice version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals / Institute of Investment Management and Research)	d
Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	d
Securities Institute Level 3 Certificate in Investments (Securities) plus Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	d
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representative Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate Programme	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	d
Registered Representative Examination	Irish Stock Exchange / Dublin City University	d
Registered Stock Broker	The Irish Stock Exchange	d
Promotore Finanziario Examination	Italian Exchange	d
Membership Examination	Johannesburg Stock Exchange	d
Registered Representative of Public Securities Examination (pre-April 1990)	Japanese Bankers Association	d
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Representative of Public Securities Examination (pre- April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Elementary, Intermediate and International Capital Markets course	Korea Securities Trading Institute	d
Certificate	New Zealand Stock Exchange	d
Examination	NIBE SVV The Dutch Institute for the Banking, Insurance and Stockbroking Industry	d

International Capital Markets Qualification	Securities Institute/ South African Institute of Financial Markets	d
(including the Fixed Interest and Bond		
Markets Module)		
Dealers Representative Examinations	Singapore Exchange	d
Ordinary and Senior Certificates	South African Institute of Financial Markets	d
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals / Institute of	e
	Investment Management and Research)	
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Investment Administration Qualification –	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
IMRO Regulatory Environment Module		
Investment Administration Qualification –	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
SFA Regulatory Environment Module		
Securities and Investment Institute – Unit 1	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Financial Regulation – (Formerly the		
Securities Institute Regulatory Paper)		
Investment Administration Qualification –	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Unit 2 SFA Regulatory Environment –		
(Formerly the Investment Administration		
Qualification – Regulatory Environment		
Module)		
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
SFA Registered Persons Examination –	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	e
Section 1 (Regulation)		

Qualification table for : Advising on (but not dealing in) Derivatives – Activity number 3 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	a
Chartered Financial Analyst plus Unit 1 of	CFA Institute/ CFA Society of UK	a
the Investment Management Certificate		
(Level 4 certificate) (post-2010 exam		
standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	a
certificate) (post-2010 exam standards) plus		
other qualifications that meet RDR specialist		

standards for securities		1
Chartered Financial Analyst plus Unit 1 of	CFA Institute/ CFA Society of UK	b
the Investment Management Certificate (pre- 2010 exam standards)		
/	CEA Institute/CEA Society of LIK (Earmonic United Kingdom Society of Investment Professionals/	
Chartered Financial Analyst Program Level 1	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	a
plus Investment Management Certificate (Level 4 certificate) (post-2010 exam	Institute of investment management and Research)	
standards)		
Chartered Financial Analyst Program Level 1	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	b
plus Investment Management Certificate	Institute of Investment Management and Research)	U
(pre-2010 exam standards)	Institute of investment intallagement and Research)	
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	b
1 ibboonde	Investment Management and Research)	U
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	с
g	Investment Management and Research)	
	CFA Society UK (Formerly United Kingdom Society of Investment Professionals/Institute of Investment	1
Fellow by examination	Management and Research)	b
Masters in Wealth Management (post 2010	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	а
examination standards)		
Investment Advice Diploma	The Chartered Institute for Securities & Investment	а
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
(where candidate holds 3 modules as		
recommended by the <i>firm</i> )		
Masters in Wealth Management (pre 2010	The Chartered Institute for Securities & Investment	b
examination standards)		U
Diploma (where candidate holds 3 modules	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
as recommended by the <i>firm</i> )		
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
and Management		-
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	
and Management (attained through a CISI		b
competency interview and presentation only)		1
Investment Advice Certificate	The Chartered Institute for Securities and Investment (Formerly the Securities & Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	С
Certificate in Securities and Financial	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	С

Derivatives		
Securities Institute Level 3 Certificate in	The Chartered Institute for Sequeities & Investment (Formally the Securities & Investment Institute)	
Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	0
Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerry the Securities & Investment Institute)	с
Securities Institute Level 3 Certificate in		
Investments (Securities & Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Derivatives)		
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Examination	The chartered institute for Securities & investment (Formerry the Securities & investment institute)	C
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Representative Examination	The chartered institute for Securities & investment (Formerry the Securities & investment institute)	C
SFA Securities Representative plus Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Derivatives Module		~
Advanced Financial Planning Certificate (must	Chartered Insurance Institute	b
include a pass in G70 paper)		0
Associate or Fellow (life and pensions route	Chartered Insurance Institute	b
only)		0
Fellow or Associate	Faculty or Institute of Actuaries	a
Registered Representative Full Membership	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment	b
Exams – where candidates hold all 3 papers	(Formerly the Securities and Investment Institute)).	
or have both the Stock Exchange Practice and		
Techniques of Investment papers		
BA (Hons) Financial Services, Planning and	Manchester Metropolitan University	а
Management		
TSA Registered Representative Examinations	The Securities Association	С
International Capital Markets Qualification		
(ICMQ) including a pass in Futures, Options	Securities Institute/South African Institute of Financial Markets	С
and other Derivative Products paper		
BA in Finance and Accounting	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance		
(where candidates hold modules as	University of Stirling	b
recommended by the <i>firm</i> )		
MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d

The Association of Certified International Investment Analysts (ACIIA)	d
CFA Institute	d
	d
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
	1
Financial Services Institute for Australiasia (Formerly the Securities Institute of Australia)	d
	1
	d
Jananasa Dankara Association	4
Japanese Bankers Association	d
Jananasa Dankara Association	4
Japanese Bankers Association	d
Japanese Securities Declars Association	d
Japanese Securities Dealers Association	u
Jananasa Sacuritias Dealars Association	d
	u
National Futures Association	d
NIBE SVV the Dutch Institute for Banking, Insurance and Stockbroking Industry	d
Norwegian Society of Financial Analysts	d
Singapore Institute of Banking and Finance	d
Sydney Futures Exchange	d
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
The characted institute for Securities & investment (Formerry the Securities & investment institute)	C
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
The chartered institute for Securities & investment (Formerry the Securities & investment institute)	C
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
	CFA Institute CFA Society UK (Formerly United Kingdom Society of Investment Professionals/Institute of Investment Management and Research) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Financial Services Institute for Australasia (Formerly the Securities Institute of Australia) ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading) Iapanese Bankers Association Japanese Bankers Association Japanese Securities Dealers Association Japanese Securities Dealers Association NIBE SVV the Dutch Institute for Banking, Insurance and Stockbroking Industry Norwegian Society of Financial Analysts Singapore Institute of Banking and Finance Sydney Futures Exchange The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)

Institute Regulatory Paper)		
SFA Registered Persons Examination –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Section 1 (Regulation)	The Chartered institute for Securities & Investment (Formerry the Securities & Investment institute)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	
Unit I – UK Regulation and Markets	Management and Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

Qualification table relating to : Advising on	Packaged Products (which are not broker funds) and Friendly Society tax-exempt	policies - Activity Numbers 4
and 6 in TC Appendix 1.1.1 R		
Qualification	Qualification Provider	Key
BA in Financial Services (1995 to 2001)	Bournemouth University	b
MA in Financial Services (1995 to 2001)	Bournemouth University	b
Post Graduate in Financial Services (1995 to 2001)	Bournemouth University	b
Diploma in Professional Financial Advice	Calibrand/Scottish Qualifications Authority	a
Diploma in Investment Planning (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in Investment Planning (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in Investment Planning (Retail Banking) (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in Investment Planning (Retail Banking) (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Associate (March 1992 to July 1994 syllabus (including top-up test))	Chartered Institute of Bankers in Scotland	b
Associate (post August 1994 syllabus)	Chartered Institute of Bankers in Scotland	b
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	b
Chartered Banker (where candidates hold UK Financial Services and Investment modules)	Chartered Institute of Bankers in Scotland	b
Diploma in Investment Planning (current)	Chartered Institute of Bankers in Scotland	b
Certificate in Financial Planning (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	с
Masters in Wealth Management (pre-2010	The Chartered Institute for Securities & Investment	b

exam standards)		
Masters in Wealth Management (Post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	a
Investment Advice Diploma	The Chartered Institute for Securities & Investment	a
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Diploma (where candidates hold 3 modules as recommended by the firm)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Diploma in Regulated Financial Planning	Chartered Insurance Institute	а
Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)	Chartered Insurance Institute	a
Advanced Diploma in Financial Planning	Chartered Insurance Institute	b
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate (ACII) (where candidate holds appropriate life and pension modules)	Chartered Insurance Institute	b
Associate (ALIA Dip)	Chartered Insurance Institute	b
Diploma in Financial Planning	Chartered Insurance Institute	b
Fellow (FCII) (where candidates hold appropriate life and pensions modules)	Chartered Insurance Institute	b
Certificate in Financial Planning	Chartered Insurance Institute	с
Financial Planning Certificate (No new registrations after 17/12/2004)	Chartered Insurance Institute	с
Fellow (FLIA Dip)	Chartered Insurance Institute	b
Fellow or Associate	Faculty or Institute of Actuaries	а
FSSC Advanced Apprenticeship in Advising on Financial Products (Financial Advice Pathway)		с
Associate (where candidate has passed the investment module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b

Diploma for Financial Advisers (pre 2010 examination standards)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Professional Investment Certificate	<i>ifs</i> School of Finance (Formerly the Chartered Institute of Bankers)	b
Diploma for Financial Advisers (post 2010)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	a
Certificate for Financial Advisers (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Certificate for Financial Advisers (Pre 31/10/2004)	ifs School of Finance (Formerly Chartered Institute of Bankers)	e
Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module)	ifs School of Finance (Formerly Chartered Institute of Bankers)	a
Certified Financial Planner	Institute of Financial Planning	b
Fellowship	Institute of Financial Planning	b
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	a
BA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
MA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
Post Graduate in Financial Services (1995 to 2001)	Sheffield Hallam University	b
BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
BA in Financial Services (1995 to 2001)	University of the West of England	b
MA in Financial Services (1995 to 2001)	University of the West of England	b
Post Graduate in Financial Services (1995 to 2001)	University of the West of England	b
Certificate in Investment Planning Paper 1 (Pre 31/10/2004)	Chartered Institute of Bankers in Scotland	e
Certificate in Investment Planning (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	e
Certificate in Investment and Financial Advice – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Advice Certificate Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	e
Certificate in Financial Planning – Paper 1	Chartered Insurance Institute	e
Certificate for Financial Advisers – Paper 1 (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e

Qualification table for : Advising on, and dealing in <i>Securities</i> (which are not <i>stakeholder pension schemes</i> or <i>broker funds</i> ) – Activity number 12 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	a
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	a
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK	a
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet RDR specialist standards for securities	CFA Institute/ CFA Society of UK	a
Chartered Financial Analyst plus Unit 1 of the Investment Management certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Investment Advice Diploma (where candidate holds 3 modules including the securities module)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	a
Masters in Wealth Management (based on post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	a
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b

Certificate in Private Client Investment	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Advice and Management		
Certificate in Private Client Investment	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Advice and Management (attained through		
competency interview and presentation		
only)		
Diploma (where candidate holds 3 modules	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
as recommended by the <i>firm</i> )		
Member of the Securities Institute (MSI	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Dip) (where candidate holds 3 modules as		
recommended by the <i>firm</i> )		
Certificate in Securities - Retail	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Certificate in Securities and Financial	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Derivatives – Retail		
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Investments (Investment Management)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Investments (Securities & Financial		
Derivatives)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
Investments (Securities)		
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Representative Examination		
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
(must include a pass in G70 paper)		
Associateship (must include a pass in the	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Investment Paper)		
Registered Representative Full Membership	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment	а
Exams – where candidates hold all 3 papers	(Formerly the Securities and Investment Institute)).	
or have both the Stock Exchange Practice		
and Techniques of Investment papers		
BA (Hons) Financial Services, Planning and	Manchester Metropolitan University	с
Management		
TSA Registered Representative	The Securities Association	b
Examinations		

BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
MSc in Investment Analysis	University of Stirling	b
MSc in Finance	University of Stirling	d
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Diploma	Association of Belgian Financial Analysts	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities Course plus Conduct and Practices Handbook	Canadian Securities Institute	d
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representatives Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate Programme	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	d
General Certificate Programme	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	d
Irish Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Promotore Finanziario Examination	Italian Exchange	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Bankers Association	d
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
Membership Examinations	Johannesburg Stock Exchange	d
Elementary, Intermediate and International Capital Markets Courses	Korea Securities Training	d
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Certificate	New Zealand Stock Exchange	d

Examination	NIBE SVV the Dutch Institute for the Banking, Insurance and Stockbroking Industry	d
International Capital Markets Qualification	Securities Institute/ South African Institute of Financial Markets	d
(inclusive of the Fixed Interest and Bond		
Markets Module)		
Dealers Representative Examination	Singapore Exchange	d
Diploma	The Swiss Stock Exchange	d
Professional Certificate in Stockbroking	University College Dublin (UCD) / The Institute of Bankers School of Professional Finance	d
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – Unit 2 SFA Regulatory Environment – (Formerly the Investment Administration Qualification Regulatory Environment Module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

Qualification table for : Advising on and dealing with or for clients in Derivatives – Activity number 13 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	а
Chartered Financial Analyst Program	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute	а
Level 1 plus Investment Management	of Investment Management and Research)	
Certificate (Level 4 certificate) (post-		
2010 exam standards)		
Chartered Financial Analyst plus Unit 1	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute	b
of the Investment Management certificate	of Investment Management and Research)	
(Level 4 certificate) (pre-2010 exam		

standards)		
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	b
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK	a
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet specialist standards for advising on securities	CFA Institute/ CFA Society of UK	a
Fellow by examination	CFA Society UK (Formerly United Kingdom Society of Investment Professionals/Institute of Investment Management and Research)	b
Associateship – must include a pass in the Investment Paper	Chartered Institute of Bankers in Scotland	b
Investment Advice Diploma	The Chartered Institute for Securities & Investment	a
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment	b
Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	The Chartered Institute for Securities & Investment	b
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i> )	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	c
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	с
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities and Investment (Formerly the Securities and Investment Institute)	с
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	с

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Investments (Derivatives)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Investments (Investment Management)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Investments (Securities & Financial		
Derivatives)		
Member of the Securities Institute (MSI	The Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	b
Dip) (where candidate holds 3 modules as		
recommended by the <i>firm</i> )		
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination		
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Representative Examination		
Financial Derivatives paper of Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination plus Financial Derivatives		
Module		
Financial Futures and Options paper of	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
the Diploma		
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
(must include a pass in G70 paper)		
Associateship – (must include a pass in	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
the Investment Paper)		
Associateship – (must include a pass in	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
the Investment Management Paper)		
Registered Representative Full	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment (Formerly	b
Membership Exams – where candidates	the Securities and Investment Institute)).	
hold all 3 papers or have both the Stock		
Exchange Practice and Techniques of		
Investment papers		
BA (Hons) Financial Services, Planning	Manchester Metropolitan University	a
and Management		
TSA Registered Representative	The Securities Association	b
Examination		
International Capital Markets	Securities Institute/ South African Institute of Financial Markets	b
Qualification (ICMQ) including pass in		
Futures, Options and other Derivative		

Products		
BA in Finance and Accounting	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and	University of Stirling	b
Finance (where candidates hold modules		
as recommended by the <i>firm</i> )		
MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Certified International Investment	The Association of Certified International Investment Analysts (ACIIA)	d
Analyst (CIIA)		
Derivatives Fundamentals Course and	Canadian Securities Institute	d
Futures/Options Licensing Course		
Diploma including passes in both the	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Australian Futures Trading and Options		
Trading papers		
International Fixed Income and	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	d
Derivatives (IFID) Certificate Programme		
Registered Representative of Public	Japanese Bankers Association	d
Securities Examination (pre April 1990)		
Representative of Public Securities	Japanese Bankers Association	d
Qualifications – Class 1		
Representative of Public Securities	Japanese Securities Dealers Association	d
Examination (pre April 1990)		
Representative of Public Securities	Japanese Securities Dealers Association	d
Qualifications – Type 1		
Series 3 National Commodities Futures	National Futures Association	d
Examination		
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance and Stockbroking Industry	d
Examination	Norwegian Society of Financial Analysts	d
Singapore Exchange Futures Trading Test	Singapore Institute of Banking and Finance	d
Ordinary and Senior Certificates	South African Institute of Financial Markets	d
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	
Unit 1 – UK Regulation and Markets	Management and Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Diploma – Regulation and Compliance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

Paper		
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
IMRO Regulatory Environment Module		
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
SFA Regulatory Environment Module		
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 2 SFA Regulatory Environment		
(Formerly the Investment Administration		
Qualification – Regulatory Environment		
Module)		
Securities & Investment Institute – Unit 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Financial Regulation (Formerly the		
Securities Institute Regulatory Paper)		

Qualification table for : Advising on Long-term care insurance contracts – Activity number 7 in TC Appendix 1.1.1R		
Qualification	Body	Key
Certificate in Financial Planning	Chartered Insurance Institute	1
& Long Term Care Insurance		
G80 paper of Advanced	Chartered Insurance Institute	1
Financial Planning Certificate		
(October 2004) plus appropriate		
exam requirements for TC		
2.1.4R(1)(f)		
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
& Certificate in Long-term Care		
Insurance		
FSSC Advanced Apprenticeship		1
in Advising on Financial		
Products (Long Term Care		
Insurance Pathway)		
National Diploma:Financial	Insurance Sector Education and Training Authority	2
Services Long-Term Risk		
Assessment		

Qualification	Body	Key
Fellow or Associate by	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals / Institute of	1
examination	Investment Management and Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals / Institute of	1
Certificate	Investment Management and Research)	
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Diploma (must include a pass in Regulation and Compliance Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Examination		1
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
G70 paper of Advanced Financial Planning Certificate	Chartered Insurance Institute	1

Fellow or Associate	Institute of Chartered Accountants in England and Wales	1
Fellow or Associate	Institute of Chartered Accountants in Ireland	1
Member	Institute of Chartered Accountants in Scotland	1
Member or Affiliate	Association of Chartered Certified Accountants	1
Stock Exchange Registered	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment	1
Representative Examination	(Formerly the Securities and Investment Institute)).	
TSA Registered Representative	The Securities Association (now The Chartered Institute for Securities and Investment (Formerly the	1
Examination	Securities and Investment Institute))	
Secondary Examination	Analyst Association of Japan	2
Investment Practice version of	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/Institute of Investment	2
the Investment Management	Management and Research)	
Certificate		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – Paper 2		
Diploma – Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Paper		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) – Unit		
5		
Registered Representative of	Japanese Bankers Association	2
Public Securities Examination		
(pre-April 1990)		
Representative of Public	Japanese Securities Dealers Association	2
Securities Examination (pre-		
April 1990)		
Representative of Public	Japanese Bankers Association	2
Securities Qualification – Class 1		
Representative of Public	Japanese Securities Dealers Association	2
Securities Qualification – Type 1		
Module B(ii), Securities and	Law Society of England and Wales	2
Portfolio Management		
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance and Stockbroking Industry	2
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
MSc in international Accounting	University of Stirling	2
and Finance (where candidates		
hold modules as recommended		
by the <i>firm</i> )		

UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals / Institute of	3
version of Investment	Investment Management and Research)	
Management Certificate		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Compliance Paper		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – IMRO		
Regulatory Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – SFA Regulatory		
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – Unit 2 SFA		
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment		
Module)		
Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Regulation		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Examination – Section 1		
(Regulation)		
Securities & Investment Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
– Unit 1 Financial Regulation –		
(Formerly the Securities Institute		
Regulatory Paper)		

Qualification table for : Advising on syndicate participation at Lloyd's - Activity number 9 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Lloyd's Market Certificate	Lloyd's / Chartered Insurance Institute	1
Lloyd's and London Market	Lloyd's	1
Introductory Test (Formerly the		
Lloyd's Introductory Test)		

Qualification table for : Acting as a <i>Pension transfer specialist</i> – Activity number 11 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Fellow or Associate including	Chartered Insurance Institute	1
three pensions-related subjects as		
confirmed by the examining		
body		
G60 paper of Advanced	Chartered Insurance Institute	1
Financial Planning Certificate		
Unit AF3 of the Advanced	Chartered Insurance Institute	1
Diploma in Financial Planning		
Fellow or Associate	Faculty or Institute of Actuaries	1
Pensions paper of Professional	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Investment Certificate		
Fellow or Associate by	Pensions Management Institute	1
examination		
Fellow or Associate by	Pensions Management Institute	1
examination		

Qualification table for : Managing investments or Acting as a Broker fund adviser – Activity number 14 and 10 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth	Association of International Wealth Management (AIWM)	1
Manager Diploma (CIWM)		
Investment Management	CFA Society UK (Formerly United Kingdom Society of Investment Professionals / Institute of Investment	1
Certificate (both pre and post	Management and Research)	
2010 examination standards)		
Fellow by examination	CFA Society UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	1
	Management and Research)	
Certificate in Private Client	The Chartered Institute for Securities & Investment	1
Investment Advice and		
Management		

Certificate in Private Client	The Chartered Institute for Securities & Investment	1
Investment Advice and		
Management (attained through a		
CISI competency interview and		
presentation only)		
Investment Advice Diploma	The Chartered Institute for Securities & Investment	1
(where candidates hold		
technical modules as		
recommended by the <i>firm</i> )		
Masters in Wealth Management	The Chartered Institute for Securities & Investment	1
Certificate in Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	1
Management		
Level 6 Diploma in Wealth	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	1
Management		
Investment Advice Certificate	Chartered Institute for Securities & Investment (Formerly the Securities and Investment Institute)	1
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investments		
(Investment Management)		
Registered Representative Full	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	1
Membership Exams – where	formerly the Securities and Investment Institute)	
candidates hold all three papers		
or hold both the Stock Exchange		
Practice and Technique of		
Investment Papers		
Advanced Financial Planning	Chartered Insurance Institute	1
Certificate (must include a pass		
in G70 paper)		
Associate – achieved by	Faculty or Institute of Actuaries	1
examination passed before 1		
December 2001 (must include a		
pass in Subject 301 –		
Investment and Asset		
Management (syllabus in force		
from 1998)		
Fellow – achieved by	Faculty or Institute of Actuaries	1
examination (must include a		
pass in subjects 301 and 401		
Investment and Asset		

Management (syllabus in force from 1998)		
Fellow or Associate by	Faculty or Institute of Actuaries	1
examination (must include		
Investment Paper E (Syllabus in		
force until 1998))		
MSc in International	University of Stirling	1
Accounting (where candidates		
hold modules as recommended		
by the <i>firm</i> )		
MSc in Investment Analysis	University of Stirling	1
Certified International	The Association of Certified International Investment Analysts (ACIIA)	2
Investment Analyst (CIIA)		
Chartered Financial Analyst	CFA Institute	2
(Level 1)		
Investment Management Asset	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Allocation Qualification	Management and Research)	
Investment Practice Version of	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management	Management and Research)	
Certificate (both pre and post		
2010 reformed Appropriate		
Exam standards versions)		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – paper 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) –		
unit 5		
Certified European Financial	EFFAS Societies with accredited examinations	2
Analyst		
IPF Certificate in Property	Investment Property Forum	2
Investment		
Associate – achieved by	Faculty or Institute of Actuaries	2
examination passed after 30		
November 2001 (must include a		
pass in subject 301 – Investment		
and Asset Management		
(syllabus in force from 1998)		

Chartered Member	Securities Analysts Association of Japan	2
Certificate in Investment	Society of Investment Analysts in Ireland	2
Management (at least 3 papers		
passed by examination)		
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
Dual degree Executive MBA in	Swiss Finance Institute	2
Asset and Wealth Management		
Unit 1 – UK Regulation &	CFA Society UK (Formerly United Kingdom Society of Investment Professionals / Institute of Investment	3
Markets	Management and Research)	
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	3
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	3
Regulation		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Compliance Paper Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – IMRO	The Chartered Institute for Securities & Investment (Formerry the Securities & Investment Institute)	5
Regulatory Environment		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – FSA Regulatory	The Chartered Institute for Securities & Investment (Formerry the Securities & Investment Institute)	5
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – Unit 2 FSA	The chartered institute for Securities & investment (Formerry the Securities & investment institute)	5
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment		
Module)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Examination – Section 1	······································	
(Regulation)		

Qualification table for : Overseeing on a day to day basis operating a *collective investment scheme* or undertaking activities of a *trustee* or *depositary* of a *collective investment scheme* – Activity number 15 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment	Chartered Institute of Bankers in Scotland	4
Planning – Paper 1		
Member or Associate	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4
Fellow or Associate by	CFA Society UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management and Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management and Research)	
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment		
module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Paper 2		
Certificate in Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Securities and Financial Derivatives – Paper 2	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management Module	The characted institute for Securities & investments (Formerry the Securities & investment institute)	
Diploma International	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Operations Management	The characted institute for Securities & investments (Formerry the Securities & investment institute)	
module		

Diploma Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management module		4
Investment Advice Certificate –	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives)		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives) – Unit 4		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
SFA Corporate Finance	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	4
Representative Examination	formerly the Securities and Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
	Ins school of rinalice (ronneny me chartered insulute of Dalikers)	+

Advisers – Paper 1 (Pre		
31/10/2004)		4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England and Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective	Institute of Chartered Secretaries and Administrators	4
Investment Scheme		
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	4
Secretarial Practice and Share		
Registration Practice (including		
the Regulatory module within		
the examination)		
Fellow or Associate	Institute of Chartered Secretaries and Administrators	4
Solicitor	Law Society of England and Wales/ Law Society of Northern Ireland	4
TSA Registered Representative	The Securities Association	4
Examination		
Fellow or Associate	Pensions Management Institute	4
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management and Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management and Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management and Research)	
Management Certificate		
Certificate in Investment	Chartered Institute of Bankers in Scotland	5
Planning – Paper 1		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Regulation	······································	
Certificate in Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Management	······································	
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Management Module		-

Diploma – International Operations Management	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Module		
Diploma Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Management Module		
Diploma Regulation and	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Compliance Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – IMRO		
Regulatory Environment		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		
Investment Advice Certificate	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Paper 1		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)		
Securities & Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Institute – Unit 1 Financial		
Regulation – (Formerly the		
Securities Institute Regulatory		
Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Representative Examination		-
SFA Securities and Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Derivatives Representative		0
Examination		
SFA Registered Persons	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Examination – Section 1	The chartered institute for Securities & investments (Formerry the Securities & investment institute)	5
(Regulation)		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	5
Representative Examination	formerly the Securities and Investment Institute)	5
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		5
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
	Is school of rinance (ronneny the Chartered Institute of Bankers)	5
Advisers Paper 1 (Pre		

31/10/2004)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	5
Investment Scheme		
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	5
Secretarial Practice and Share		
Registration Practice (including		
the Regulatory module within		
the examination)		
TSA Registered Representative	The Securities Association	5
Examination		
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma International	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
<b>Operations Management</b>		
Module		
Diploma Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Management Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Collective		
Investment Schemes		
Administration module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Basics of		
CREST Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Bond Settlement		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification CREST		
Settlement Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification Derivatives		

Operations Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Exchange –		
Traded Derivative		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification Global Custody		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Global		
Settlement Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – ISA		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – ISA and PEP		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification OEIC		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Operational		
Risk Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – OTC		
Derivatives Administration		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification PEP		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Portfolio		
Performance Measurement		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6

Qualification Unit Trust		
Administration Module		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	6
Investment Scheme		
Administration		
Certificate n Company	Institute of Chartered Secretaries and Administrators	6
Secretarial Practice and Share		
<b>Registration Practice (including</b>		
the Regulatory module within		
the examination)		
Investment Administration	Investment Management Association	6
Management Award		
In house module (only where		6
the firm can demonstrate that		
none of the listed examinations		
is appropriate)		

Qualification table for : Overse	eeing on a day to day basis safeguarding and administering investments or holding client money – Activity	number 16 in
TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	4
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4
Investment Administration Qualification – Introduction to Securities and Investment module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4

Diploma	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Paper 2		
Certificate in Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
2		
Certificate in Securities and	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2		
Client Services Qualification	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma International	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Operations Module		
Diploma Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Paper 1		
Membership of the Securities	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives) – Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Representative Examination		

SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; formerly the Securities and Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England and Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Member or Associate	Chartered Institute of Bankers in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries and Administrators	4
Certificate in Company Secretarial Practice and Share Registration Practice (including Regulatory module within the examination)	Institute of Chartered Secretaries and Administrators	4
Fellow or Associate	Institute of Chartered Secretaries and Administrators	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative Examination	The Securities Association	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	5
Investment Regulation and Practice Paper of the Associate Examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	5
UK Regulation and Markets version of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management and Research)	5

Management Certificate		
Certificate in Investment	Chartered Institute of Bankers in Scotland	5
Planning – Paper 1		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Regulation		
Certificate in Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Management		
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Management Module		
Diploma International	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Operations Management		
Module		
Diploma Regulation and	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Compliance Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – IMRO		
Regulatory Environment		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Paper 1		
Securities Institute Level 3	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)		
Securities & Investment	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Institute – Unit 1 Financial		
Regulation (Formerly the		
Securities Institute Regulatory		
Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Representative Examination		
SFA Registered Persons	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Examination – Section 1		

(Regulation)		
SFA Securities Representative	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	5
Representative Examination	formerly the Securities and Investment Institute)	
Financial Planning Certificate	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1 pre 31/10/2004		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	5
Investment Scheme	Institute of Chartered Secretaries and Administrators	3
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	5
Secretarial Practice and Share	Institute of Chartered Secretaries and Administrators	5
Registration Practice (including		
the Regulatory module within		
the examination)		
TSA Registered Representative	The Securities Association	5
Examinations		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Global		
Securities Operations module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration module		
Diploma International	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
<b>Operations Management</b>		
Module		
Diploma – Global Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma Operations	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Management Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		

Module		
Investment Administration Qualification – Basics of CREST Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification –Bond Settlement Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification CREST Settlement Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification Derivatives Operations Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Exchange- Traded Derivative Administration Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification Global Custody Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Global Settlement Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – ISA Administration Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – ISA and PEP Administration Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification OEIC Administration Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Operational Risk Module	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – OTC Derivatives Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6

Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification PEP		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification Portfolio		
Performance Measurement		
Module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification Unit Trust		
Administration Module		
Operations Certificate	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	6
Programme (OCP)		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	6
Investment Scheme		
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	6
Secretarial Practice and Share		
Registration Practice (including		
the Regulatory module within		
the examination)		
Investment Administration	Investment Management Association	6
Management Award		
In-house module (only where		6
the firm can demonstrate that		
none of the listed examinations		
are appropriate)		

Qualification table for : Overseeing on a day to day basis administrative functions in relation to managing investments

- (i) arranging settlement;
- (ii) monitoring and processing corporate actions;
- (iii) client account administration, liaison and reporting including valuation and performance measurement;
- (iv) ISA, PEP or CTF administration;
- (v) Investment trust savings scheme administration.

## Activity number 17 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management and Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management and Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment	Chartered Institute of Bankers in Scotland	4
Planning		
Member or Associate	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment		
module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 2		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
2		
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2		

Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma – International	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Operations Management		
Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives) – Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	4
Representative Examination	formerly the Securities and Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4

Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship		4
in Retail Financial Services		
(investment Administration		
Pathway including the		
Introduction to Securities and		
Investment module)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Advisers – Paper 1 (Pre		
31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England and Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective	Institute of Chartered Secretaries and Administrators	4
Investment Scheme		
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	4
Secretarial Practice and Share		
Registration (including the		
Regulatory module within the		
examination)		
Fellow or Associate	Institute of Chartered Secretaries and Administrators	4
Solicitor	Law Society of England and Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management and Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management and Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of Investment	Management and Research)	
Management Certificate		
Certificate in Investment	Chartered Institute of Bankers in Scotland	5

Planning – Paper 1		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment module		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	5
Regulation		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management		
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module		
Diploma – International	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Operations Management		
Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO		
Regulatory Environment		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Regulatory		
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)		
Securities & Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Institute – Unit 1 Financial		
Regulation (Formerly the		
Securities Institute Regulatory		
Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

Representative Examination		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
FSSC Advanced Apprenticeship		5
in Retail Financial Services		
(Investment Administration		
Pathway including FSA		
Regulatory Environment or		
Principles of Financial		
Regulation)		
Diploma in Capital Markets,	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	5
Regulation and Compliance		
Operations Certificate	ICMA Centre / University of Reading (Formerly ISMA Centre / University of Reading)	6
Programme (OCP)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1 (Pre		
31/10/2004)		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	5
Investment Scheme		
Administration		
Certificate in Company	Institute of Chartered Secretaries and Administrators	5
Secretarial Practice and Share		
Registration (including the		
Regulatory module within the		
examination)		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – CREST		

Settlement module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – Global		
Securities Operation module		
Investment Administration	The Chartered Institute for Securities & Investments (Formerly the Securities & Investment Institute)	6
Qualification – ISA and CTF		
Administration module		
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma – International	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Operations Management		
Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Basics of		
CREST module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Bond Settlement		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Derivatives		
Operations Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Exchange-		
Traded Derivative		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global Custody		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global		
Settlement Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – ISA		
Administration Module		

Investment Administration Qualification – OEIC Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification –Operational Risk Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification - PEP Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Private Client Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Unit Trust Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
FSSC Advanced Apprenticeship in Retail Financial Services (Investment Administration Pathway including either Asset Servicing / CREST Settlement / Global Securities or ISA and CTF Administration)		6
Certificate in Company Secretarial Practice and Share Registration (including the Regulatory module within the examination)	Institute of Chartered Secretaries and Administrators	6
Investment Administration Management Award	Investment Management Association	6
In house module (only where the firm can demonstrate that none of the listed examinations is appropriate)		6

Qualification table for : Carrying out on a day to day basis administrative functions in relation to effecting or carrying out *contracts of insurance* which are *life policies*:

- (i) new business administration;
- (ii) policy alterations including surrenders and policy loans;
- (iii) preparing projections;
- (iv) processing claims, including pension payments;
- (v) fund switching

## Activity number 18 in TC Appendix 1.1.1R

Activity number 18 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management and Research)	
Investment Management	CFA Society UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management and Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment	Chartered Institute of Bankers in Scotland	4
Planning – Paper 1		
Member or Associate	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 2		
Certificate in Securities – Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
2		
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2		
<b>Client Services Qualification</b>	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma – International	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

Operations Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment		
Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Membership of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives) – Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	4
Representative Examination	formerly the Securities and Investment Institute)	
CF1 – UK financial services,	Chartered Insurance Institute	4
regulation and ethics		
Certificate of Insurance Practice	Chartered Insurance Institute	4

Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship		4
in Retail Financial Services		
(Long Term Insurance Pathway		
including CF1)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Advisers – Paper 1 (Post		
1/11/2004)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Advisers – Paper 1 (Pre		
31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England and Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective	Institute of Chartered Secretaries and Administrators	4
Investment Scheme		
Administration		
Fellow or Associate	Institute of Chartered Secretaries and Administrators	4
Solicitor	Law Society of England and Wales / Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
Certificate in Investment	Chartered Institute of Bankers in Scotland	5
Planning – Paper 1		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Paper		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO		
Regulatory Environment		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

Qualification – Unit 2 FSA		
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment		
Module)		
Investment Advice Certificate –	The Chartened Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The Charten d Legitete for Constitute & Legetered (Former legite Constitute & Legitete)	5
Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation		_
Securities & Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Institute – Unit 1 Financial		
Regulation – (Formerly the		
Securities Institute Regulatory		
Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
FSSC Advanced Apprenticeship		5
in Retail Financial Services		
(Long Term Insurance Pathway		
including CF1)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1 (Post		
1/11/2004)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1 (Pre		
31/10/2004)		
Certificate in Collective	Institute of Chartered Secretaries and Administrators	5
Investment Scheme		
Administration		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	6
version of Investment	Management and Research)	
Management Certificate		
vianagement Certificate		

Investment Administration Qualification – Life Policy Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Advice Certificate – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Certificate of Insurance Practice (life or pensions route)	Chartered Insurance Institute	6
Fellow or Associate (life and pensions route only)	Chartered Insurance Institute	6
Financial Planning Certificate – Paper 2	Chartered Insurance Institute	6
Life assurance paper (735) from the Associateship	Chartered Insurance Institute	6
Pensions law, taxation and administration paper (740) from the Associateship	Chartered Insurance Institute	6
FA1 – Life office administration	Chartered Insurance Institute	6
FA2 – Pensions administration paper	Chartered Insurance Institute	6
Fellow or Associate	Faculty or Institute of Actuaries	6
FSSC Advanced Apprenticeship in Retail Financial Services (Long Term Insurance Pathway including CF1 and either FA1 or FA2)		6
Certificate for Financial Advisers – Paper 2 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Initial Test of Competence	Institute of Chartered Accountants in England and Wales	6
Module B(i), Retail Branded/ Packaged Products	Law Society of England and Wales	6
Diploma in Member-Directed Pension Scheme Administration	Pensions Management Institute	6
Fellow or Associate (by examination)	Pensions Management Institute	6
In-house module (only where the firm can demonstrate that		6

Qualification table for : Overseeing on a day to day basis administrative functions in relation to the operation of *stakeholder pension schemes*:

- (i) new business administration; -
- (ii) receipt of or alteration to contributions; \_
- (iii) preparing projections and annual statements; -
- (iv) administration of transfers; \_
- (v) handling claims, including pension payments;(vi) fund allocation and switching. -
- \_

Activity number 19 in TC Appendix 1.1.1R			
Qualification	Qualification Provider	Key	
FSSC Advanced Apprenticeship		1	
in Retail Financial Services			
(Long Term Insurance Pathway			
including CF1 & FA2)			
Member	Association of Accounting Technicians	4	
Fellow or Associate	Association of Chartered Certified Accountants	4	
Fellow or Associate	Association of Corporate Treasurers	4	
Fellow or Associate by	CFA Society of UK (Formerly the United Kingdom Society of Investment Professionals/ Institute of	4	
examination	Investment Management and Research)		
Investment Management	CFA Society of UK (Formerly the United Kingdom Society of Investment Professionals/ Institute of	4	
Certificate	Investment Management and Research)		
Fellow or Associate	Chartered Institute of Bankers in Ireland	4	
Certificate in Investment	Chartered Institute of Bankers in Scotland	4	
Planning – Paper 1			
Member or Associate	Chartered Institute of Bankers in Scotland	4	
Fellow or Associate	Chartered Institute of Management Accountants	4	
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4	
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4	
Certificate in Derivatives –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4	
Paper 2			
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4	
Management			

Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module	The chartered institute for Securities & investment (ronnerry the Securities & investment institute)	-
Diploma – International	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Operations Module	The chartered institute for becariles to investment (ronnerry the becarities to investment institute)	
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate -	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial		
Derivatives) – Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

Derivatives Representative		
Examination	The Chartened Institute for Conviting & Investment (Formerly the Conviting & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
CF1 – UK financial services,	Chartered Insurance Institute	4
regulation and ethics		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment;	4
Representative Examination	formerly the Securities and Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Advisers – Paper 1 (Post		
1/11/2004)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Advisers – Paper 1 (Pre		
31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England and Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective	Institute of Chartered Secretaries and Administrators	
Investment Scheme		
Administration		
Fellow or Associate	Institute of Chartered Secretaries and Administrators	4
Solicitor	Law Society of England and Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management and Research)	
Management Certificate		
Certificate in Investment	Chartered Institute of Bankers in Scotland	5
Planning – Paper 1		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

Qualification – IMRO Regulatory Environment		
Module       Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Unit 2 FSA		
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment module)		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The Chartered Institute for Securities & investment (Formerry the Securities & investment institute)	5
Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation	The chartered institute for securities & investment (Formerry the securities & investment institute)	5
Securities & Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Institute – Unit 1 Financial		5
Regulation – (Formerly the		
Securities Institute Regulatory		
Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers Paper 1 (Pre		
31/10/2004)		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Advisers – Paper 1 (Post		
01/11/2004)		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Paper 2		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Pensions		
Administration module	Chartened Insurance Institute	6
FA2 – Pensions administration	Chartered Insurance Institute	6

paper		
Certificate of Insurance Practice	Chartered Insurance Institute	6
(Pensions route)		
Fellow or Associate (Pensions	Chartered Insurance Institute	6
route)		
Financial Planning Certificate	Chartered Insurance Institute	6
Paper 2		
Pensions law, taxation and	Chartered Insurance Institute	6
administration paper (740) from		
the Associateship		
Associate or Fellow	Faculty or Institute of Actuaries	6
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Advisers Paper 2 (Pre		
31/10/2004)		
Initial Test of Competence	Institute of Chartered Accountants in England and Wales	6
Initial Test of Competence	Institute of Chartered Accountants in Ireland	6
Initial Test of Competence	Institute of Chartered Accountants in Scotland	6
Module B(i) Retail Branded/	Law Society of England and Wales	6
Packaged Products		
Fellow or Associate (by	Pensions Management Institute	6
examination)		
In house module (only where		6
the firm can demonstrate that		
none of the listed examinations		
is appropriate)		

Qualification table for : Advising a customer on a <i>regulated mortgage contract</i> (for a non-business purpose) – Activity number 20 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Mortgage Advice and Practice Certificate	Chartered Institute of Bankers in Scotland	1
Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	1
MAPC bridge paper plus entry	Chartered Institute of Bankers in Scotland	1

Certificate in Mortgage Advice   Chartered Insurance Institute   1     Mortgage Advice Qualification   Chartered Insurance Institute   1     MAQD plus entry requirements   1     FSSC Advanced Apprenticeship in Advising on Financial   1     Products (Mortgage Advice and Practice (Post 1/1)/2004)   1     Optimum For Mortgage Advice and Practice (Dost 1/1)/2004)   15     Optimum For Mortgage Advice and Practice (CeMAP) (plus entry requirements)   1     Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)   15     Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)   1     Certificate in Investment Planning - Paper 1 (Pre 1609/2004)   1     MAPC - Paper 1 (Pre 1609/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate - Paper 1 (Pre 1609/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice Certificate - Paper 1 (No new registrations)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice Certificate - Paper 1 (No new registrations)   Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)   3     Paper 1 (No new registrations after 17/12/2004)   Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	requirements (Pre 31/10/2004)		
Mortgage Advice Qualification (MAQ) plus entry requirements   1     FSSC Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway)   1     Certificate in Mortgage Advice Pathway)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Orgen Formatical Products (Mortgage Advice Pathway)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Diploma for Mortgage Advice and Practice (CMAP) (Pre 3/10/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Mortgage Advice and Practice (CMAP) (Pre 3/10/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment 1609/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment 1609/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practic Certificate – Paper 1 (Pre 1609/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practic Certificate – Paper 1 (Pre 1609/2004)   Chartered Institute for Scurities & Investment (Formerly the Scurities & Investment Institute)   3     Paper 1 (No new registrations)   Chartered Institute for Scurities & Investment (Formerly the Scurities & Investment Institute)   3     Paper 1 (No new registrations after 17/12/2004)   Chartered Insurance Institute –		Chartered Insurance Institute	1
FSSC Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway)   1     Certificate in Mortgage Advice and Practice (Post 1/1/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Diploma for Mortgage Advice and Practice DipMAP (plus)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Mortgage Advice and Practice (CeMAP) (Pre 3/1/0/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Pager 1 (Pre 16/09/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     MAPC – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)   The Chartered Institute of Bankers in Scotland   3     Investment Advice Certificate – Paper 1 (No new registrations)   The Chartered Institute of Securities & Investment (Formerly the Securities & Investment Institute)   3     Paper 1 (No new registrations)   Chartered Institute of Securities & Investment (Formerly the Securities & Investment Institute)   3     Paper 1 (No new registrations after 17/12/2004)   Chartered Insurance Institute   3     Paper 1 (No new registrations after 17/12/20	Mortgage Advice Qualification	Chartered Insurance Institute	1
in Advising on Financial Products (Morgage Advice Pathway)	(MAQ) plus entry requirements		
Products (Mortgage Advice Pathway) ifs School of Finance (Formerly the Chartered Institute of Bankers) 1   Certificate in Mortgage Advice and Practice (Post 1/1/2004) ifs School of Finance 1   Diploma for Mortgage Advice and Practice DipMAP (plus entry requirements) 1 1   Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004) 1 1   Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004) 1 1   Certificate in Investment Planning - Paper 1 (Pre 16/09/2004) ifs School of Finance (Formerly the Chartered Institute of Bankers) 1   MAPE C - Paper 1 (Pre Certificate in Investment Planning - Paper 1 (Pre 16/09/2004) Chartered Institute of Bankers in Scotland 3   Mortgage Advice and Practice Certificate - Paper 1 (Pre Certificate - Paper 1 (Pre 16/09/2004) Chartered Institute of Bankers in Scotland 3   Mortgage Advice and Practice Certificate - Paper 1 (Pre Paper 1 (Post 17/10/2004) Chartered Institute of Bankers in Scotland 3   Certificate - Paper 1 (Pre Paper 1 (Post 17/10/2004) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 3   Certificate - Paper 1 (Post 17/12/2004) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 3   Certificate in Mortgage Advice and Practice - Paper 1 (Post 17/12/2004) Chartered Institute for Securities & Investment Institute) 3   Certificate in M	FSSC Advanced Apprenticeship		1
Pathway)     Image: Advice and Practice (Post 1/11/2004)     Image: Iso Control of Finance (Formerly the Chartered Institute of Bankers)     1       Diploma for Mortgage Advice and Practice (Down 1/11/2004)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Finance)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     1       Optimizer (Control of Pred)     ifs School of Finance (Formerly the Chartered Institute of Bankers)     3       Optimizer (Pred)     ifs School of Finance (Formerly the School of Finance)     3       Information (Pred)     ifs School of Finance)     3       Optimizer (Pred)     ifs School of Finance)     3       Information (Pred)     ifs Sch	in Advising on Financial		
Certificate in Mortgage Advice and Practice (Post 1/1/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Diploma for Mortgage Advice and Practice DipMAP (plus entry requirements)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     MAPC – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Certificate – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Certificate in Mortgage Advice Paper 1 (No new registrations)   The Chartered Institute of Scurities & Investment (Formerly the Securities & Investment Institute)   3     Certificate in Mortgage Advice Paper 1 (No registrations after 17/12/2004)   Inscence (Formerly the Chartered Institute of Bankers)   3     Certificate in Mortgage Advice and Practice – Paper 1 (Post 17/11/2004)   If School of Finance (Formerly the Chartered Institute of Bankers)<			
and Practice (Post 1/1/2004)   ifs School of Finance   1     Diploma for Mortgage Advice and Practice (CeMAP) (Pte   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Mortgage Advice and Practice Paper 1 (Post 1/1/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     MAPC - Paper 1 (Pre 16/09/2004)   Ifs School of Bankers in Scotland   3     Mortgage Advice and Practice Paper 1 (Post 1/1/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice certificate - Paper 1 (Post 1/1/2004)   The Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate - Paper 1 (Post 1/1/2004)   Chartered Institute of Bankers in Scotland   3     They set the information of the inf			
Diploma for Mortgage Advice and Practice DipMAP (plus entry requirements)   ifs School of Finance   1     Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     MAPC – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice – Paper 1 (No new registrations)   Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)   3     Paper 1 (No new registrations)   Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)   3     Paper 1 (No negistrations)   Chartered Insurance Institute   3   3     Certificate in Mortgage Advice – Paper 1 (No registrations after 17/12/2004)   Chartered Insurance Institute if School of Finance (Formerly the Chartered Institute of Bankers)   3     Certificate in Mortgage Advice and Practice – Paper 1 (Post 1/11/2004)   if School of Finance (Formerly the Chartered Institute of Bankers)	00	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
and Practice DipMAP (plus entry requirements)   Image: Advice and Practice (CeMAP) (Pre 31/10/2004)   Image: Imag			
entry requirementsImage: Advice of the second s		ifs School of Finance	1
Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     CeMAP Bridge paper plus entry requirements   ifs School of Finance (Formerly the Chartered Institute of Bankers)   1     Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     MAPC – Paper 1 (Pre 16/09/2004)   Chartered Institute of Bankers in Scotland   3     Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)   Chartered Institute of Bankers in Scotland   3     Investment Advice Certificate – Paper 1 (No new registrations)   The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)   3     Certificate in Mortgage Advice and Practice – Paper 1 (No registrations)   Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)   3     Certificate in Mortgage Advice and Practice – Paper 1 (No registrations after 17/12/2004)   Chartered Insurance Institute   3     Certificate in Mortgage Advice and Practice – Paper 1 (Post 17/12/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   3     Certificate in Mortgage Advice and Practice – Paper 1 (Post 17/11/2004)   ifs School of Finance (Formerly the Chartered Institute of Bankers)   3     Certificate for Financial   ifs School of Finance (Formerly the Char			
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	Advisers – Paper 1 (Pre		

31/10/2004)		
Certificate in Mortgage Advice	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
and Practice (CeMAP) –Paper 1		
(Pre 31/10/2004)		

Qualification table for : Advising a customer on Equity release transactions – Activity number 21 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certificate in Equity Release	Chartered Insurance Institute	1
(Formerly known as Certificate		
in Financial Planning and		
Lifetime Mortgages)		
Certificate in Regulated Equity	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Release (Formerly known as		
Certificate in Lifetime		
Mortgages)		
Equity Release Mortgage	Chartered Institute of Bankers in Scotland	1
Advice & Practice Certificate		
(ERMAPC)		
Certificate in Mortgage Advice	Chartered Institute of Bankers in Scotland	1
and Practice (MAPC) (Pre		
16/09/2004)		
Lifetime Mortgage Advice and	Chartered Institute of Bankers in Scotland	1
Practice Certificate		
MAPC Bridge paper plus entry	Chartered Institute of Bankers in Scotland	1
requirements (Pre 16/09/2004)		
Mortgage Advice Qualification	Chartered Insurance Institute	1
(MAQ) plus entry requirements		
CeMAP bridge paper plus entry	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
requirements (Pre 31/19/2004)		
Certificate in Mortgage Advice	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
and Practice (CeMAP) (Pre		
31/10/2004)		
Certificate in Investment	Chartered Institute of Bankers in Scotland	3
Planning – Paper 1 (Pre		

16/09/2004)		
Certificate in Mortgage Advice and Practice (MAPC) – Paper 1	Chartered Institute of Bankers in Scotland	3
(Pre 16/09/2004)		
Mortgage Advice and Practice	Chartered Institute of Bankers in Scotland	3
Certificate – Paper 1 (Post		
17/09/2004)		
Certificate in Investment and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Financial Advice – Paper 1		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Paper 1 (No new registrations)		
Certificate in Mortgage Advice	Chartered Insurance Institute	3
– Paper 1		
Certificate in Mortgage Advice	Chartered Insurance Institute	3
– Paper 1		
Financial Planning Certificate –	Chartered Insurance Institute	3
Paper 1 (No new registrations		
after 17/12/2004)		
Certificate in Mortgage Advice	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
and Practice (Post 1/11/2004) –		
Paper 1		
Certificate for Financial	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Advisers – Paper 1 (Pre		
31/10/2004)		
Certificate in Mortgage Advice	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
and Practice (CeMAP) – Paper		
1 (Pre 31/10/2004)		

Qualification table for : Designing scripted questions for use in sales to customers of <i>regulated lifetime mortgage contracts</i> which do not involve <i>personal</i> recommendations – Activity number 22 in TC Appendis 1.1.1R		nvolve <i>personal</i>
Qualification	Qualification Provider	Key
Equity Release Mortgage Advice & Practice Certificate	Chartered Institute of Bankers in Scotland	1
(ERMAPC)		

Certificate in Mortgage Advice	Chartered Institute of Bankers in Scotland	1
and Practice (MAPC) (Pre 16/09/2004)		
Lifetime Mortgage Advice and	Chartered Institute of Bankers in Scotland	1
Practice Certificate		
MAPC bridge paper plus entry requirements (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	1
Certificate in Equity Release	Chartered Insurance Institute	1
Mortgage Advice Qualification (MAQ) plus entry requirements	Chartered Insurance Institute	1
Certificate in Regulated Equity release	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
CeMAP bridge paper plus entry requirements (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
Certificate in Mortgage Advice and Practice (MAPC) – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
Certificate in Investment and Financial Advice – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Advice Certificate – Paper 1 (No new registrations)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Financial Planning Certificate – Paper 1 (No new registrations after 17/12/2004)	Chartered Insurance Institute	3
Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3

Qualification table for : Overseeing non-advised sales on a day-to-day basis on Equity release transactions – Activity number 23 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Certificate in Equity Release	Chartered Insurance Institute	4
Certificate in Regulated Equity Release	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Equity Release Mortgage Advice & Practice Certificate	Chartered Institute of Bankers in Scotland	4
(ERMAPC)		
Certificate in Equity Release	Chartered Insurance Institute	5
Certificate in Regulated Equity Release	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Equity Release Mortgage Advice & Practice Certificate	Chartered Institute of Bankers in Scotland	5
(ERMAPC)		
Certificate in Equity Release	Chartered Insurance Institute	6
Certificate in Regulated Equity Release	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Equity Release Mortgage Advice & Practice Certificate	Chartered Institute of Bankers in Scotland	6
(ERMAPC)		