#### 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

а	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 accredited body 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	а
Chartered Financial Analyst Program Level 1 plus	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4		
certificate) (post-2010 exam standards)		
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4		
certificate) (post-2010 exam standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	а
certificate) (post-2010 exam standards) plus other		
qualifications that meet specialist standards for		
advising on securities		

Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK	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 & Research)	b
Investment Management Certificate	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	С
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Investment Advice Diploma (where candidate holds 3 modules including the securities module)	The Chartered Institute for Securities & Investment	а
Masters in Wealth Management (Post 2010 examination standards)	The Chartered Institute for Securities & Investment	а
Masters in Wealth Management (pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	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 & 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 & Investment Institute)	b
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i> )	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Securities and Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives  - Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representatives Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Fellow or Associate	Faculty or Institute of Actuaries	а
Advanced Financial Planning Certificate (must include a pass in G70 paper)	Chartered Insurance Institute	b

Associate or Fellow (life and pensions route only)	Chartered Insurance Institute	b
London Stock Exchange Full Membership Exams	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
<ul> <li>where candidates hold three or four papers or</li> </ul>	Securities & Investment Institute)	
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 (now The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	С
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	Canadian Securities Institute	d
Practices Handbook		
Investment Practice version of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	d
Management Certificate	Management & Research)	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Investment Management) – Unit 5		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Securities) plus Securities Institute		
Level 3 Certificate in Investments (Derivatives) –		
Unit 3		
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representative	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Examination		
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)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Certificate Programme		
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	Japanese Bankers Association	d
Examination (pre-April 1990)		

Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	р
	Income Conviting Declary Association	-1
Representative of Public Securities Examination	Japanese Securities Dealers Association	d
(pre- April 1990)		
Representative of Public Securities Qualification –	Japanese Securities Dealers Association	d
Type 1		
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Elementary, Intermediate and International	Korea Securities Trading Institute	d
Capital Markets course		
Certificate	New Zealand Stock Exchange	d
Examination	NIBE SVV The Dutch Institute for the Banking, Insurance & 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 Investment	е
3	Management & Research)	
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Regulatory Environment Module	The Change of House o	
Investment Administration Qualification – SFA	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module	, , , , , , , , , , , , , ,	
Securities and Investment Institute – Unit 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Regulation – (Formerly the Securities	, ,	
Institute Regulatory Paper)		
Investment Administration Qualification – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
FSA Regulatory Environment – (Formerly the	The original medicine for eccurate a invocation (i orintary are eccurated a invocation medicine)	ľ
Investment Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate - FSA Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulation Module	The orienteed monate for occurries a investment (i officing the occurries a investment institute)	6
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
SFA Registered Persons Examination – Section 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)  The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	-
1	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	е
(Regulation)		

Qualification table for : Advising on (but not dealing in) <i>Derivatives</i> – Activity number 3 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	а
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4		

certificate) (post-2010 exam standards)		
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet RDR specialist standards for derivatives	CFA Institute/ CFA Society of UK	а
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK	b
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 & Research)	а
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 & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	С
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Masters in Wealth Management (post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i> )	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Masters in Wealth Management (pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & 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 & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С

Securities Institute Level 3 Certificate in		<del></del>
Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Futures and Options Representative	The Objection of Institute for Occupition 9 Institute of Forest orbits of Constitute 9 Institute 9	
Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities and Financial Derivatives	The Chartered Institute for Convities 8 Investment (Formerly the Convities 8 Investment Institute)	
Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representative plus Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Derivatives Module	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	C
Advanced Financial Planning Certificate (must	Chartered Insurance Institute	b
include a pass in G70 paper)		В
Associate or Fellow (life and pensions route only)	Chartered Insurance Institute	b
Fellow or Associate	Faculty or Institute of Actuaries	а
London Stock Exchange Full Membership Exams	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
<ul> <li>where candidates hold three or four papers or</li> </ul>	Securities & Investment Institute)	ļ
have both the Stock Exchange Practice and		ļ
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 and other	Securities Institute/ South African Institute of Financial Markets	С
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 recommended	University of Stirling	þ
by the firm)		
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 Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Chartered Financial Analyst	CFA Institute	d
Investment Practice paper of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	d
Management Certificate	Management & Research)	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Investment Management) – Unit 5	( construction ( cons	
Diploma including passes in both the Australian	Financial Services Institute for Australasia (Formerly the Securities Institute of Australia)	d
Futures Trading and Options papers	, , ,	_
International Fixed Income and Derivatives (IFID)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Certificate Programme		
Registered Representative of Public Securities	Japanese Bankers Association	d
Examination (pre April 1990)		
Representative of Public Securities Qualification –	Japanese Bankers Association	d
Class 1		

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
Series 3 – Futures Representative Examination	National Futures Association	d
Examination	NIBE SVV the Dutch Institute for Banking, Insurance & Stockbroking Industry	d
Examination	Norwegian Society of Financial Analysts	d
Singapore Exchange Futures Trading Test	Singapore Institute of Banking & Finance	d
Registered Representative Examination	Sydney Futures Exchange	d
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO		
Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – SFA	The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute)	
Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – Unit 2		
FSA Regulatory Environment (Formerly the	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Investment Administration Qualification –	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	e
Regulatory Environment Module)		
Investment Operations Certificate - FSA Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulation Module		
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Securities & Investment Institute – Unit 1 Financial		
Regulation (Formerly the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Paper)		
SFA Registered Persons Examination – Section 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
(Regulation)	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	е
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 LIK Population and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	
Unit 1 – UK Regulation and Markets	Management & Research)	е
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

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	а
Diploma in Investment Planning (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а

Diploma in Investment Planning (Retail Banking) (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (Retail Banking)	Chartered Institute of Bankers in Scotland	
(Existing Adviser) Post 2010 examination	Chartered institute of Dankers in Scotland	a
standards		ا
	Chartered Institute of Bankers in Scotland	
Diploma in investment planning (work based	Chartered institute of Bankers in Scotland	a
assessment)	Objections I hard's to a C Bank and 'a Constlant	
Associate (March 1992 to July 1994 syllabus	Chartered Institute of Bankers in Scotland	b
(including top-up test))		
Associate (post August 1994 syllabus)	Chartered Institute of Bankers in Scotland	b
Certificate in Investment Planning (pre	Chartered Institute of Bankers in Scotland	b
17/09/2004)		
Chartered Banker (where candidates hold UK	Chartered Institute of Bankers in Scotland	b
Financial Services and Investment modules)		, o
Diploma in Investment Planning (current)	Chartered Institute of Bankers in Scotland	b
Certificate in Investment Planning (Post	Chartered Institute of Bankers in Scotland	
17/09/2004)	Chartered institute of Bankers in Scotland	C
Masters in Wealth Management (pre-2010 exam	The Chartered hastitute for Committee & Investment	L
standards)	The Chartered Institute for Securities & Investment	b
Masters in Wealth Management (Post 2010	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
examination standards)	, , , , , , , , , , , , , , , , , , , ,	a
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Management (attained through competency	The oriented mattace for occurries a investment (i orinerly the occurries a investment institute)	
interview and presentation only)		
Certificate in Private Client Investment Advice and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Diploma (where candidates hold 3 modules as	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
recommended by the firm)	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	b
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	L .
(where candidate holds 3 modules as		b
recommended by the firm)	The Chartered limits to far Convities 2 have treed (Farmand), the Convities 2 have treed highlighter	
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Diploma in Regulated Financial Planning	Chartered Insurance Institute	а
Diploma in Regulated Financial Planning (attained	Chartered Insurance Institute	a
through a CII alternative assessment day)		
Advanced Diploma in Financial Planning	Chartered Insurance Institute	b
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate (ACII) (where candidate holds	Chartered Insurance Institute	b
appropriate life and pension modules)		, o
Associate (ALIA Dip)	Chartered Insurance Institute	b
Diploma in Financial Planning	Chartered Insurance Institute	b
Fellow (FCII) (where candidates hold appropriate	Chartered Insurance Institute	h
life and pensions modules)		b
•		•

Certificate in Financial Planning	Chartered Insurance Institute	С
Financial Planning Certificate (No new	Chartered Insurance Institute	С
registrations after 17/12/2004)		
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	ifs School of Finance (Formerly the Chartered Institute of Bankers)	
investment module)	and defined of a married with different medical of Barriers,	b
Diploma for Financial Advisers (pre 2010 examination standards)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Professional Investment Certificate	ifs 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)	а
Certificate for Financial Advisers (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е
Certificate for Financial Advisers (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е
Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	а
Certified Financial Planner	Institute of Financial Planning	b
Fellowship	Institute of Financial Planning	b
London Stock Exchange Full Membership Exams  – where candidates hold three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	b
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	а
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	е
Certificate in Investment Planning (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	е
Certificate in Investment and Financial Advice – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Advice Certificate Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	е
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)	е
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е
Certificate in Mortgage Advice and Practice (CeMAP) – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е

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

Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Management)		
Securities Institute Level 3 Certificate in Investments (Securities &	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Financial Derivatives)		
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities and Financial Derivatives Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination		
Advanced Financial Planning Certificate (must include a pass in	Chartered Insurance Institute	b
G70 paper)		
Associateship (must include a pass in the Investment Paper)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
London Stock Exchange Full Membership Exams – where	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment;	а
candidates hold three or four papers or have both the Stock	Formerly the Securities & Investment Institute)	
Exchange Practice and Techniques of Investment papers		
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	С
TSA Registered Representative Examinations	The Securities Association	b
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	Canadian Securities Institute	d
Handbook		
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	d
	Dealers (NASD)	
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	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Programme		
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	Korea Securities Training	d
Courses		
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 & Stockbroking Industry	d
International Capital Markets Qualification (inclusive of the Fixed Interest and Bond Markets Module)	Securities Institute/ South African Institute of Financial Markets	d
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)	е
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – Unit 2 FSA Regulatory Environment – (Formerly the Investment Administration Qualification Regulatory Environment Module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	е
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

Qualification table for : Advising on and dea	lification 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 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 & Research)	a
Chartered Financial Analyst plus Unit 1 of the Investment Management certificate (Level 4 certificate) (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
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 & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	а

Investment Management Certificate (Level 4		
certificate) (post-2010 exam standards) Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	
certificate) (post-2010 exam standards) plus	CFA Institute/ CFA Society of OK	а
other qualifications that meet specialist		
standards for advising on securities		
	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management	
Fellow by examination	& Research)	b
Associateship – must include a pass in the	Chartered Institute of Bankers in Scotland	b
Investment Paper		
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
and Management		
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
and Management (attained through a CISI		
competency interview and presentation only)		
Masters in Wealth Management (based on	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
pre 2010 examination standards)		
Masters in Wealth Management (based on	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
post 2010 examination standards)		
Diploma (where candidate holds 3 modules	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
as recommended by the firm)		
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Derivatives		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Derivatives)	TI OL 4 11 (14 1 O 11 1 O 1	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Investment Management)	The Observed Heal's to the Occ. 25 or O. b. restored (French the Occ. 25 or O. b. restored by the O.	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Securities & Financial Derivatives)		
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	h
(where candidate holds 3 modules as	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	b
recommended by the <i>firm</i> )		
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination	The Charlesea modules to Securities & investment (i officing the Securities & investment institute)	
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Representative Examination	, since the second seco	
Financial Derivatives paper of Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
plus Financial Derivatives Module	,	-
	1	

Financial Futures and Options paper of the Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Advanced Financial Planning Certificate (must include a pass in G70 paper)	Chartered Insurance Institute	b
Associateship – (must include a pass in the Investment Paper)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Associateship – (must include a pass in the Investment Management Paper)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
London Stock Exchange Full Membership Exams – where candidates holds three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	b
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	а
TSA Registered Representative Examination	The Securities Association	b
International Capital Markets Qualification (ICMQ) including pass in Futures, Options and other Derivative Products	Securities Institute/ South African Institute of Financial Markets	b
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 recommended by the <i>firm</i> )	University of Stirling	b
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 Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Derivatives Fundamentals Course and Futures/Options Licensing Course	Canadian Securities Institute	d
Diploma including passes in both the Australian Futures Trading and Options Trading papers	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
International Fixed Income and Derivatives (IFID) Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Bankers Association	d
Representative of Public Securities Qualifications – Class 1	Japanese Bankers Association	d
Representative of Public Securities Examination (pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities	Japanese Securities Dealers Association	d

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Qualifications – Type 1		
Series 3 National Commodities Futures	National Futures Association	d
Examination		
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance & Stockbroking Industry	d
Examination	Norwegian Society of Financial Analysts	d
Singapore Exchange Futures Trading Test	Singapore Institute of Banking & 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)	е
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management	е
Office Of Regulation and Markets	& Research)	<u> </u>
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
IMRO Regulatory Environment Module		
Investment Administration Qualification – SFA	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module		
Investment Administration Qualification – Unit	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
2 FSA Regulatory Environment (Formerly the		
Investment Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate – FSA	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Regulation Module		
Securities & Investment Institute – Unit 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
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 & Long Term Care Insurance	Chartered Insurance Institute	1
G80 paper of Advanced Financial Planning Certificate (October 2004) plus appropriate exam requirements for TC 2.1.4R(1)(f)	Chartered Insurance Institute	1
Certificate for Financial Advisers & Certificate in Long-term Care Insurance	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
FSSC Advanced Apprenticeship in Advising on Financial Products (Long Term Care Insurance Pathway)		1
National Diploma:Financial Services	Insurance Sector Education and Training Authority	2

Long-Term Risk Assessment	
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Qualification	Body	Key
Fellow or Associate by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	1
nvestment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	1
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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Representative Examination		
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	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
ellow or Associate	Institute of Chartered Accountants in England & 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; Formerly the	1
Representative Examination	Securities & Investment Institute)	4
TSA Registered Representative	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities &	1
Examination Secondary Examination	Investment Institute) Analyst Association of Japan	2
Investment Practice version of the	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management Certificate	Management & Research)  The Chartered Institute for Conviting & Investment (Former Institute)	0
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – Paper 2	The Chartered leastitute for Convities 0 leavestreage (Forms only the Convities 0 leavestreagt leastitute)	0
Diploma – Corporate Finance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) – Unit 5	Jananasa Dankara Association	
Registered Representative of Public	Japanese Bankers Association	2
Securities Examination (pre-April 1990)		
Representative of Public Securities	Japanese Securities Declare Association	2
•	Japanese Securities Dealers Association	4
Examination (pre-April 1990)	Japanese Bankers Association	2
Representative of Public Securities  Qualification – Class 1	Japanese Bankers Association	2
	Japanese Securities Dealers Association	2
Representative of Public Securities	Japanese Securities Dealers Association	2
Qualification – Type 1  Module B(ii), Securities and Portfolio	Law Society of England & Wales	2
Management	Law Society of England & Wales	2
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance & Stockbroking Industry	2
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
MSc in international Accounting and	University of Stirling	2
Finance (where candidates hold		2
modules as recommended by the		
firm)		
UK Regulation and Markets version	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	3
of Investment Management	Management & Research)	3
Certificate	Wanagement & Nessearon)	
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Compliance Paper	The chartered method to coodinate a investment (i chilory the coodinate a investment method)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – IMRO Regulatory	S	
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 FSA		
Regulatory Environment – (Formerly		
the Investment Administration		

Qualification – Regulatory		
Environment Module)		
Investment Operations Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
FSA Financial Regulation Module		
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
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 three	Chartered Insurance Institute	1
pensions-related subjects as confirmed by the examining body		
G60 paper of Advanced Financial	Chartered Insurance Institute	1
Planning Certificate		
Unit AF3 of the Advanced Diploma in Financial Planning	Chartered Insurance Institute	1
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 examination	Pensions Management Institute	1
Fellow or Associate by examination	Pensions Management Institute	1

Qualification	Qualification Provider	Key
Certified International Wealth Manager Diploma (CIWM)	Association of International Wealth Management (AIWM)	1
Investment Management Certificate (both pre and post 2010 examination standards)	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	1
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	1
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i> )	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Investment Advice Diploma (where candidates hold technical modules as recommended by the <i>firm</i> )	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1

Masters in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management		
Level 6 Diploma in Wealth	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investments		
(Investment Management)		
London Stock Exchange Full	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	1
Membership Exams – where	Securities & Investment Institute)	
candidates hold three or four		
papers or holds 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 examination	Faculty or Institute of Actuaries	1
(must include a pass in subjects		
301 and 401 Investment and Asset		
Management (syllabus in force		
from 1998)		
Fellow or Associate by examination	Faculty or Institute of Actuaries	1
(must include Investment Paper E		
(Syllabus in force until 1998))		
MSc in International Accounting	University of Stirling	1
(where candidates hold modules		
as recommended by the firm)		
MSc in Investment Analysis	University of Stirling	1
Certified International Investment	The Association of Certified International Investment Analysts (ACIIA)	2
Analyst (CIIA)		
Chartered Financial Analyst (Level	CFA Institute	2
1)		
Investment Management Asset	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Allocation Qualification	Management & Research)	
Investment Practice Version of	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management	Management & Research)	
Certificate (both pre and post 2010		
reformed Appropriate Exam		

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SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Examination – Section 1		
(Regulation)		

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 Planning  – Paper 1	Chartered Institute of Bankers in Scotland	4
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 of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management & Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
<ul> <li>Introduction to Securities and</li> </ul>		
Investment Module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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	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 Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

Management module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 & Financial Derivatives)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
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; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
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 & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Scheme Administration		

Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
Practice (including the Regulatory		
module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & 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 & 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 & 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 & Research)	
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory		
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (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 Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	TI 01 + 11 + 11 + 1 + 1 + 1 + 1 + 1 + 1 +	
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Module	TI OL 4 11 514 ( O 35 01 4 4 55 1 1 1 O 35 01 4 4 5 1 1 1 1 O	
Diploma Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module	The Observed Health to the Occ. Star Observed (French the Occ. Star Observed Health to)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory		
Environment Module	The Chartered Institute for Securities & Investment (Formark) the Securities & Investment Institute)	5
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – FSA Regulatory Environment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
FSA Financial Regulation	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	J
Module		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Charleted module for Securities & investment (Formerly the Securities & investment institute)	3
Paper 1	I .	

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Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)		
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –	The channel of the common (common) and common (common)	
(Formerly the Securities Institute		
Regulatory Paper)	The Obstantial Constitution of	-
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1	The character members of the control	
(Regulation)		
	Landon Stock Evahanga (records are now kept by the Chartered Institute for Securities 9 Investment: Formarky the	5
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	5
Representative Examination	Securities & Investment Institute)	
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration	mountained de ordinaries a vianimientatere	
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
	institute of Chartered Secretaines & Administrators	3
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 & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	, , , , , , , , , , , , , , , , , , , ,	
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module	The Shartered medicale for Securities a investment (i officiny the Securities a investment institute)	
	The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute)	6
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Collective		
Investment Schemes		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>Collective Investment Schemes</li> </ul>		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
Addition 7,000t Ool violing	I.	

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

Qualification – OTC Derivatives		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>OTC Derivatives Administration</li> </ul>		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification PEP Administration		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Portfolio		
Performance Measurement		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>Private Client Administration</li> </ul>		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Unit Trust		
Administration Module		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	6
Scheme Administration		
Certificate n Company Secretarial	Institute of Chartered Secretaries & Administrators	6
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 the		6
firm can demonstrate that none of		
the listed examinations is		
appropriate)		

Qualification table for : Overseeing on a day to day basis safeguarding and administering <i>investments</i> or holding <i>client money</i> – 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 & Research)	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	4

Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
- Paper 1		
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance & Accountancy	4
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
<ul> <li>Introduction to Securities and</li> </ul>		
Investment Module		
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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	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 – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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)	The Objection Health to the Occupition Objection of (Ferrand, the Occupition Objection of Leading)	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
(Securities & Financial Derivatives)		
- Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	4
Trebieselitative Examination	<u>l</u>	

OEA E ( assess LOstinus	The Observation of the Constitution of the Con	Τ 4
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination	T 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination	TI OI 4 11 51 4 6 0 15 01 4 4 5 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & 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 Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
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 & 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	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
Practice (including Regulatory		
module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examination		
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management & 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 & 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 & Research)	-
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory	( Simony and South and a	-
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation	The desired with the desired of the	

Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Diploma – Global Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Diploma International Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Diploma Regulation and Compliance Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Investment Administration Qualification – FSA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Investment Operations Certificate  – FSA Financial Regulation  Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	5
Financial Planning Certificate Paper 1	Chartered Insurance Institute	5
Certificate for Financial Advisers – Paper 1 pre 31/10/2004	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	5
Certificate in Company Secretarial Practice and Share Registration	Institute of Chartered Secretaries & Administrators	5

Dractice (including the Deculator)	T	
Practice (including the Regulatory module within the examination)		
TSA Registered Representative	The Securities Association	5
Examinations		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global Securities		
Operations Module Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>Global Securities Operation</li> </ul>	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	O
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul><li>Private Client Administration</li><li>Module</li></ul>		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The oriantered institute for occurring a investment (i officing the occurring a investment institute)	
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Asset Servicing Module	( change of mentals is a measure of mentals a measure of mentals a measure of mentals a measure of mentals and mentals a measure of mentals and mentals a measure of mentals and mentals a	
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 - CREST Settlement		
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
- CREST Settlement Module		
Investment Administration Qualification Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Operations Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Exchange-Traded	5	
Derivative Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>Exchange –Traded Derivative</li> </ul>		

Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Global Custody	The chartered mentale for eccumine a investment (i emising the eccumine a investment mentale)	
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global Settlement	The Change of the Column of th	
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – ISA Administration	The character in accountable a invocation (i officing the coolinate a invocation institute)	
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
ISA Administration Module	The character in accountable a invocation (i officing the coordinate a invocation institute)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – ISA and PEP	The original monate for occurring a myodiment (i ormany the occurring a myodiment monate)	
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification OEIC Administration	The original monate for occurring a myodiment (i ormany the occurring a myodiment monate)	
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Operational Risk	The charles a menale of a common of an economic field and a meaning and a menale of	
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Operational Risk Module	The Change of the Committee of the Commi	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – OTC Derivatives		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
<ul> <li>OTC Derivatives Administration</li> </ul>		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification PEP Administration		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Portfolio Performance		
Measurement Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Unit Trust		
Administration Module		
Operations Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	6
(OCP)		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	6
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	6
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 the		6
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 & Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
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 & Accountancy	4
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
<ul> <li>Introduction to Securities and</li> </ul>		
Investment Module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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	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 Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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; Formerly the	4
Representative Examination	Securities & 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 in		4
Retail Financial Services		
(investment Administration		
Pathway including the Introduction		
to Securities and Investment		
module)		

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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 & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
(including the Regulatory module		
within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & 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 & 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 & 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	Management & Research)	
Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		_
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
- FSA Financial Regulation		
Module	The Objective Health to the One office Objective of (Farmer), the One office Objective (Health to)	-
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation	The Observand leading to Constitute to Describing the Constitute of the Constitute o	-
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
Diploma – Global Operations  Management Module	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	5
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	E
Diploma – International Operations Management Module	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	5
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module	The Ghartered institute for Geodinies a investment (i officiny the Geodinies a investment institute)	
Compliance Module		ļ.

<u> </u>		
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 – SFA Regulatory		
Environment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The character members of the control	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments	The Gridiened modified a myesiment (i emery the decarties a myesiment modified)	o e
(Investment Management)		
	The Chartened heatists for Consisting 9 house trees to (Forest only the Consisting 9 house trees at heatist to)	-
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
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	The oriented modules a myestilient (romeny the occurries a myestilient module)	
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	3
Examination	Objective Harmonia India	+-
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
FSSC Advanced Apprenticeship in		5
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	The state of the s	
Operations Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	6
(OCP)	101/1/ Control Critical of Reading (Formony Town Control Officer Officers)	
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
	ins scribble of Finance (Formerly the Chartered Institute of Dalikers)	٥
Paper 1 (Pre 31/10/2004)	Institute of Chartered Connetering 9 Administrators	
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration		_
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration		
(including the Regulatory module		
within the examination)		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

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

Module		
Investment Operations Module – ISA Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
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 Operations Certificate  – 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 Operations Certificate  – Private Client Adminstration  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 & 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

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 & Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
– 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 & Accountancy	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Module .		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
nvestment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
<ul> <li>Introduction to Securities and</li> </ul>		
Investment Module		

Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Membership of the Securities Institute by examination	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	The chartered method to cooling a myodiment (remony the cooling a myodiment method)	<u>'</u>
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments	the chance of mentals	
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments	the chance of mentals	1
(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	the chance of mentals	
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; Formerly the	4
Representative Examination	Securities & 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 in		4
Retail Financial Services (Long		
Term Insurance Pathway including		
CF1)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Post 1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
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 & Wales	4

Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Heland Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Accountains in Geotiana  Institute of Chartered Secretaries & Administrators	4
Scheme Administration	Thomas of Charles of Contains a Marining at the Contains of Contai	'
Fellow or Associate	Institute of Chartered Secretaries & 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 Planning	Chartered Institute of Bankers in Scotland	5
– 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 – SFA 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 Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
- FSA Financial Regulation		
Module	The Objective of Institute for Convities Objective at (Forms only the Convities Objective at Institute)	-
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1 Principles of Financial Regulation	The Chartered Institute for Cognities & Investment (Formark) the Cognities & Investment Institute)	
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1	The Shartered mentale for Securities a investment (ronnerly the Securities a investment institute)	
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
FSSC Advanced Apprenticeship in		5
Retail Financial Services (Long		
Term Insurance Pathway including		

CF1)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Post 1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
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	Management & Research)	
Certificate		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Life Policy		
Administration Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Paper 2		
Certificate of Insurance Practice	Chartered Insurance Institute	6
(life or pensions route)		
Fellow or Associate (life and	Chartered Insurance Institute	6
pensions route only)		
Financial Planning Certificate –	Chartered Insurance Institute	6
Paper 2		
Life assurance paper (735) from	Chartered Insurance Institute	6
the Associateship		
Pensions law, taxation and	Chartered Insurance Institute	6
administration paper (740) from the		
Associateship		
FA1 – Life office administration	Chartered Insurance Institute	6
FA2 – Pensions administration	Chartered Insurance Institute	6
paper		
Fellow or Associate	Faculty or Institute of Actuaries	6
FSSC Advanced Apprenticeship in		6
Retail Financial Services (Long		
Term Insurance Pathway including		
CF1 and either FA1 or FA2)	Ye Ook and of Element (Francisch the Obertage Heafft to of Bank and	
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Paper 2 (Pre 31/10/2004)	Institute of Chartered Associations in England 9 Wales	6
Initial Test of Competence	Institute of Chartered Accountants in England & Wales	6
Module B(i), Retail Branded/	Law Society of England & Wales	6
Packaged Products	Pensions Management Institute	6
Diploma in Member-Directed Pension Scheme Administration	rensions management institute	6
	Pancione Management Institute	6
Fellow or Associate (by	Pensions Management Institute	6
examination) In-house module (only where the		6
firm can demonstrate that none of		6
mini 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 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 in	- Additional Lotter	1
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 Investment	4
examination	Management & Research)	
Investment Management	CFA Society of UK (Formerly the United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
- 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 – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

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 Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
<ul> <li>Introduction to Securities and</li> </ul>		
Investment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
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; Formerly the	4
Representative Examination	Securities & 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 Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Post 1/11/2004)		

Oscilla de Cara Fire estal Addisona	Tree Colonia (Francis (Francis III a Claster	1.4
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)	Ye Oak and at Fire and (Formard, the Okarton dilate) to at Davidson	
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & 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 & Research)	
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- 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 Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
<ul> <li>FSA Financial Regulation</li> </ul>		
Module		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1		
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
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		
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)	The contest of Finance (Fernion) the chartered methate of Earmore)	
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Post 01/11/2004)	, and the second	
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		
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 Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Paper 2 (Pre 31/10/2004)		
Initial Test of Competence	Institute of Chartered Accountants in England & 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 & Wales	6
Packaged Products		
Fellow or Associate (by	Pensions Management Institute	6
examination)		
In house module (only where the		6
firm can demonstrate that none of		
the listed examinations is		
appropriate)		

Qualification table for : Advising a customer on a regulated mortgage contract (for a non-business purpose) – Activity number 20 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Mortgage Advice and Practice	Chartered Institute of Bankers in Scotland	1
Certificate		
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	1

Practice (MAPC) (Pre 16/09/2004)		
MAPC bridge paper plus entry	Chartered Institute of Bankers in Scotland	1
requirements (Pre 31/10/2004)	Chartered montate of Dankers in Ocoliana	
Certificate in Mortgage Advice	Chartered Insurance Institute	1
Mortgage Advice Qualification	Chartered Insurance Institute	1
(MAQ) plus entry requirements		
FSSC Advanced Apprenticeship in		1
Advising on Financial Products		
(Mortgage Advice Pathway)		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Practice (Post 1/11/2004)		
Diploma for Mortgage Advice and	ifs School of Finance	1
Practice DipMAP (plus entry		
requirements)		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Practice (CeMAP) (Pre		
31/10/2004)	if Cabaal of Finance (Fameauly the Chambarad Institute of Paul 200)	4
CeMAP Bridge paper plus entry	ifs School of Finance (Formerly the Chartered Institute of Bankers)	T
requirements  Certificate in Investment Planning	Chartered Institute of Bankers in Costland	2
- 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	Chartered Institute of Bankers in Scotland  Chartered Institute of Bankers in Scotland	3
Certificate – Paper 1 (Post	Onartered montate of Dankers in Scotiand	3
17/09/2004)		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Paper 1 (No new registrations)	The Charles of Medicine of Coodinate a myodine it among the Coodinate a myodine it moditate)	
Certificate in Mortgage Advice –	Chartered Insurance Institute	3
Paper 1		
Financial Planning Certificate –	Chartered Insurance Institute	3
Paper 1 (No registrations after		
17/12/2004)		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Practice – Paper 1 (Post		
1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Paper 1 (Pre 31/10/2004)		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
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	no contact of Finance (Formerly the chartered monate of Bankers)	<b>'</b>
Certificate in Lifetime Mortgages)		
Equity Release Mortgage Advice &	Chartered Institute of Bankers in Scotland	1
Practice Certificate (ERMAPC)		
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	1
Practice (MAPC) (Pre 16/09/2004)		
Lifetime Mortgage Advice and Practice Certificate	Chartered Institute of Bankers in Scotland	1
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 and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Practice (CeMAP) (Pre 31/10/2004)		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	3
- Paper 1 (Pre 16/09/2004)	Chartered institute of Bankers in Scotland	3
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	3
Practice (MAPC) – Paper 1 (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 Cognition & Investment (Formerly the Cognition & Investment Institute)	3
Paper 1 (No new registrations)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Certificate in Mortgage Advice –	Chartered Insurance Institute	3
Paper 1	Chartered indicator	
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 and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3

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

Qualification table for : Designing scripted questions for use in sales to customers of regulated lifetime mortgage contracts which do not involve personal recommendations – Activity number 22 in TC Appendis 1.1.1R

Qualification	Key				
Equity Release Mortgage Advice &	Chartered Institute of Bankers in Scotland	1			
Practice Certificate (ERMAPC)					
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	1			
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)					
Certificate in Equity Release	Chartered Insurance Institute	1			
Mortgage Advice Qualification	Chartered Insurance Institute	1			
(MAQ) plus entry requirements					
Certificate in Regulated Equity	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1			
release					
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1			
Practice (CeMAP) (Pre					
31/10/2004)					
CeMAP bridge paper plus entry	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1			
requirements (Pre 31/10/2004)	Objections I heal's to a C Paral and 'a Constlant I				
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	3			
- Paper 1 (Pre 16/09/2004)	Objections I heal's to a C Paral and 'a Constlant I				
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	3			
Practice (MAPC) – Paper 1 (Pre					
16/09/2004) Certificate in Investment and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3			
Financial Advice – Paper 1	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3			
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3			
Paper 1 (No new registrations)	The Charleted module for Securities & Investment (Formerly the Securities & Investment institute)	3			
Financial Planning Certificate –	Chartered Insurance Institute	3			
Paper 1 (No new registrations after	Charteled insulance insulate	3			
17/12/2004)					
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3			
Certificate for Financial Advisers — Institute of Chartered Institute of Barkers)					

Paper 1 (Pre 31/10/2004)	

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 (ERMAPC)	Chartered Institute of Bankers in Scotland	4
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 (ERMAPC)	Chartered Institute of Bankers in Scotland	5
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 (ERMAPC)	Chartered Institute of Bankers in Scotland	6