

TC Appendix 4E – Appropriate Qualification tables

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

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

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

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

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

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

Qualification	Qualification provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	a
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK	a
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK	a
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet specialist standards for advising on securities	CFA Institute/ CFA Society of UK	a

Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK	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)	c
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	a
Masters in Wealth Management (Post 2010 examination standards)	The Chartered Institute for Securities & Investment	a
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)	c
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Securities and Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Securities and Financial Derivatives – Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Securities Representatives Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Fellow or Associate	Faculty or Institute of Actuaries	a
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 – 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	a
TSA Registered Representative Examinations	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	c
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 (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
Diploma	Association of Belgian Financial Analysts	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities course plus Conduct and Practices Handbook	Canadian Securities Institute	d
Investment Practice version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	d
Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Securities Institute Level 3 Certificate in Investments (Securities) plus Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representative Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Registered Stock Broker	The Irish Stock Exchange	d
Promotore Finanziario Examination	Italian Exchange	d
Membership Examination	Johannesburg Stock Exchange	d
Registered Representative of Public Securities Examination (pre-April 1990)	Japanese Bankers Association	d

Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Representative of Public Securities Examination (pre- April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Elementary, Intermediate and International Capital Markets course	Korea Securities Trading Institute	d
Certificate Examination	New Zealand Stock Exchange	d
International Capital Markets Qualification (including the Fixed Interest and Bond Markets Module)	NIBE SVV The Dutch Institute for the Banking, Insurance & Stockbroking Industry	d
Dealers Representative Examinations	Securities Institute/ South African Institute of Financial Markets	d
Ordinary and Senior Certificates	Singapore Exchange	d
Unit 1 – UK Regulation and Markets	South African Institute of Financial Markets	d
Diploma – Regulation and Compliance Paper	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Securities and Investment Institute – Unit 1 Financial Regulation – (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
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)	e
Investment Operations Certificate - FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

Qualification table for : Advising on (but not dealing in) Derivatives – Activity number 3 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	a
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	a

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	a
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)	a
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)	c
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)	a
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
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)	c
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c

Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Securities Representative plus Financial Derivatives Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
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
Fellow or Associate	Faculty or Institute of Actuaries	a
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	a
TSA Registered Representative Examinations	The Securities Association	c
International Capital Markets Qualification (ICMQ) including a pass in Futures, Options and other Derivative Products paper	Securities Institute/ South African Institute of Financial Markets	c
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
Chartered Financial Analyst	CFA Institute	d
Investment Practice paper of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	d
Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Diploma including passes in both the Australian Futures Trading and Options papers	Financial Services Institute for 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 Qualification – Class 1	Japanese Bankers Association	d

Representative of Public Securities Examination (pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
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)	e
Investment Administration Qualification – IMRO Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – SFA Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – Unit 2 FSA Regulatory Environment (Formerly the Investment Administration Qualification – Regulatory Environment Module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Operations Certificate - FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

Qualification table relating to : Advising on <i>Packaged Products</i> (which are not <i>broker funds</i>) and <i>Friendly Society</i> tax-exempt policies - Activity Numbers 4 and 6 in TC Appendix 1.1.1 R		
Qualification	Qualification Provider	Key
BA in Financial Services (1995 to 2001)	Bournemouth University	b
MA in Financial Services (1995 to 2001)	Bournemouth University	b
Post Graduate in Financial Services (1995 to 2001)	Bournemouth University	b
Diploma in Professional Financial Advice	Calibrand/ Scottish Qualifications Authority	a
Diploma in Investment Planning (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in Investment Planning (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a

Diploma in Investment Planning (Retail Banking) (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in Investment Planning (Retail Banking) (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	a
Diploma in investment planning (work based assessment)	Chartered Institute of Bankers in Scotland	a
Associate (March 1992 to July 1994 syllabus (including top-up test))	Chartered Institute of Bankers in Scotland	b
Associate (post August 1994 syllabus)	Chartered Institute of Bankers in Scotland	b
Certificate in Investment Planning (pre 17/09/2004)	Chartered Institute of Bankers in Scotland	b
Chartered Banker (where candidates hold UK Financial Services and Investment modules)	Chartered Institute of Bankers in Scotland	b
Diploma in Investment Planning (current)	Chartered Institute of Bankers in Scotland	b
Certificate in Investment Planning (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	c
Masters in Wealth Management (pre-2010 exam standards)	The Chartered Institute for Securities & Investment	b
Masters in Wealth Management (Post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidates hold 3 modules as recommended by the firm)	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 firm)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Diploma in Regulated Financial Planning	Chartered Insurance Institute	a
Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)	Chartered Insurance Institute	a
Advanced Diploma in Financial Planning	Chartered Insurance Institute	b
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate (ACII) (where candidate holds appropriate life and pension modules)	Chartered Insurance Institute	b
Associate (ALIA Dip)	Chartered Insurance Institute	b
Diploma in Financial Planning	Chartered Insurance Institute	b
Fellow (FCII) (where candidates hold appropriate life and pensions modules)	Chartered Insurance Institute	b

Certificate in Financial Planning	Chartered Insurance Institute	c
Financial Planning Certificate (No new registrations after 17/12/2004)	Chartered Insurance Institute	c
Fellow (FLIA Dip)	Chartered Insurance Institute	b
Fellow or Associate	Faculty or Institute of Actuaries	a
FSSC Advanced Apprenticeship in Advising on Financial Products (Financial Advice Pathway)		c
Associate (where candidate has passed the investment module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Diploma for Financial Advisers (pre 2010 examination standards)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Professional Investment Certificate	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)	a
Certificate for Financial Advisers (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Certificate for Financial Advisers (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	a
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	a
BA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
MA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
Post Graduate in Financial Services (1995 to 2001)	Sheffield Hallam University	b
BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
BA in Financial Services (1995 to 2001)	University of the West of England	b
MA in Financial Services (1995 to 2001)	University of the West of England	b
Post Graduate in Financial Services (1995 to 2001)	University of the West of England	b
Certificate in Investment Planning Paper 1 (Pre 31/10/2004)	Chartered Institute of Bankers in Scotland	e
Certificate in Investment Planning (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	e
Certificate in Investment and Financial Advice – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Advice Certificate Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	e
Certificate in Financial Planning – Paper 1	Chartered Insurance Institute	e

Certificate for Financial Advisers – Paper 1 (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e
Certificate in Mortgage Advice and Practice (CeMAP) – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	e

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

Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
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
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)	a
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	c
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 Handbook	Canadian Securities Institute	d
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representatives Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
General Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Irish Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Promotore Finanziario Examination	Italian Exchange	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Bankers Association	d
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d

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

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

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 specialist standards for advising on securities	CFA Institute/ CFA Society of UK	a
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Associateship – must include a pass in the Investment Paper	Chartered Institute of Bankers in Scotland	b
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
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
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Masters in Wealth Management (based on post 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 Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	c
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
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Financial Derivatives paper of Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
SFA Securities Representative Examination plus Financial Derivatives Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b

Financial Futures and Options paper of the Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	a
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	a
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

Qualifications – Type 1		
Series 3 National Commodities Futures Examination	National Futures Association	d
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)	e
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Administration Qualification – Unit 2 FSA Regulatory Environment (Formerly the Investment Administration Qualification – Regulatory Environment Module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e

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 table for : Advising on <i>investments</i> in the course of <i>corporate finance business</i> – Activity number 8 in TC Appendix 1.1.1R		
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
Investment 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 Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
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
Fellow 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 Representative Examination	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	1
TSA Registered Representative Examination	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	1
Secondary Examination	Analyst Association of Japan	2
Investment Practice version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	2
Certificate in Investment Management – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Diploma – Corporate Finance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Registered Representative of Public Securities Examination (pre-April 1990)	Japanese Bankers Association	2
Representative of Public Securities Examination (pre-April 1990)	Japanese Securities Dealers Association	2
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	2
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	2
Module B(ii), Securities and Portfolio Management Examination	Law Society of England & Wales	2
Ordinary and Senior Certificates	NIBE SVV the Dutch Institute for the Banking, Insurance & Stockbroking Industry	2
MSc in international Accounting and Finance (where candidates hold modules as recommended by the firm)	South African Institute of Financial Markets	2
University of Stirling		2
UK Regulation and Markets version of Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	3
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Administration Qualification – Unit 2 FSA Regulatory Environment – (Formerly the Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3

Qualification – Regulatory Environment Module)		
Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Securities & Investment Institute – Unit 1 Financial Regulation – (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3

Qualification table for : <i>Advising on syndicate participation at Lloyd's</i> - 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 Introductory Test (Formerly the Lloyd's Introductory Test)	Lloyd's	1

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 pensions-related subjects as confirmed by the examining body	Chartered Insurance Institute	1
G60 paper of Advanced Financial Planning Certificate	Chartered Insurance Institute	1
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 Investment Certificate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Fellow or Associate by examination	Pensions Management Institute	1
Fellow or Associate by examination	Pensions Management Institute	1

Qualification table for : Managing <i>investments</i> or Acting as a <i>Broker fund adviser</i> – Activity number 14 and 10 in TC Appendix 1.1.1R		
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 Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Investment Advice Certificate	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
London Stock Exchange Full Membership Exams – where candidates hold three or four papers or holds both the Stock Exchange Practice and Technique of Investment Papers	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	1
Advanced Financial Planning Certificate (must include a pass in G70 paper)	Chartered Insurance Institute	1
Associate – achieved by examination passed before 1 December 2001 (must include a pass in Subject 301 – Investment and Asset Management (syllabus in force from 1998))	Faculty or Institute of Actuaries	1
Fellow – achieved by examination (must include a pass in subjects 301 and 401 Investment and Asset Management (syllabus in force from 1998))	Faculty or Institute of Actuaries	1
Fellow or Associate by examination (must include Investment Paper E (Syllabus in force until 1998))	Faculty or Institute of Actuaries	1
MSc in International Accounting (where candidates hold modules as recommended by the <i>firm</i>)	University of Stirling	1
MSc in Investment Analysis	University of Stirling	1
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	2
Chartered Financial Analyst (Level 1)	CFA Institute	2
Investment Management Asset Allocation Qualification	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	2
Investment Practice Version of Investment Management Certificate (both pre and post 2010 reformed Appropriate Exam)	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	2

standards versions)		
Certificate in Investment Management – paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Securities Institute Level 3 Certificate in Investments (Investment Management) – unit 5	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certified European Financial Analyst	EFFAS Societies with accredited examinations	2
IPF Certificate in Property Investment	Investment Property Forum	2
Associate – achieved by examination passed after 30 November 2001 (must include a pass in subject 301 – Investment and Asset Management (syllabus in force from 1998)	Faculty or Institute of Actuaries	2
Chartered Member	Securities Analysts Association of Japan	2
Certificate in Investment Management (at least 3 papers passed by examination)	Society of Investment Analysts in Ireland	2
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
Dual degree Executive MBA in Asset and Wealth Management	Swiss Finance Institute	2
Unit 1 – UK Regulation & Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	3
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
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)	3
Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3

SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
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Qualification table for : Overseeing on a day to day basis operating a <i>collective investment scheme</i> or undertaking activities of a <i>trustee</i> or <i>depository</i> of a <i>collective investment scheme</i> – Activity number 15 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment 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 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
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	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 Management	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 Financial Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations 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 module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Member of the Securities Institute by examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	4

Certificate in Company Secretarial Practice and Share Registration Practice (including the Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	4
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Northern Ireland	4
TSA Registered Representative Examination	The Securities Association	4
Fellow or Associate	Pensions Management Institute	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Investment Regulation and Practice Paper of the Associate Examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
UK Regulation and Markets version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	5
Investment Administration Qualification – SFA Regulatory Environment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
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 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 Securities and Financial Derivatives 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
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 for Financial Advisers – Paper 1	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 Practice (including the Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	5
TSA Registered Representative Examination	The Securities Association	5
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 – Collective Investment Schemes Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – Collective Investment Schemes Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Asset Servicing	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

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 – OTC Derivatives Administration 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 – Portfolio Performance Measurement 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 Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification Unit Trust Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	6
Certificate in Company Secretarial Practice and Share Registration Practice (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 : Overseeing on a day to day basis safeguarding and administering *investments* or holding *client money* – Activity number 16 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & 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 – Paper 1	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance & Accountancy	4
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	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
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 Management	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 Financial Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma International Operations Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
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 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Member or Associate	Chartered Institute of Bankers in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	4
Certificate in Company Secretarial Practice and Share Registration Practice (including Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	4
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative Examination	The Securities Association	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Investment Regulation and Practice Paper of the Associate Examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
UK Regulation and Markets version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	5
Investment Administration Qualification – SFA Regulatory Environment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

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

Practice (including the Regulatory module within the examination)		
TSA Registered Representative Examinations	The Securities Association	5
Investment Administration Qualification – Global Securities Operations Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – Global Securities Operation 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 Administration 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 – Global 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 – Asset Servicing Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

Administration Module		
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 Qualification – OTC Derivatives Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – OTC Derivatives Administration 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 Portfolio Performance Measurement 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
Operations Certificate Programme (OCP)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	6
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	6
Certificate in Company Secretarial Practice and Share Registration Practice (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 are appropriate)		6

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 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
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 Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	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 Management	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 Financial Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – International Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Member of the Securities Institute by examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship in Retail Financial Services (investment Administration Pathway including the Introduction to Securities and Investment module)		4

Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	4
Certificate in Company Secretarial Practice and Share Registration (including the Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	4
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 Examinations	The Securities Association	4
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Investment Regulation and Practice Paper of the Associate Examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
UK Regulation and Markets version of Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	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
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
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 – 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 – SFA Regulatory Environment 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
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	5
FSSC Advanced Apprenticeship in Retail Financial Services (Investment Administration Pathway including FSA Regulatory Environment or Principles of Financial Regulation)		5
Diploma in Capital Markets, Regulation and Compliance	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	5
Operations Certificate Programme (OCP)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	6
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 (including the Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	5
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 Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Unit Trust Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
FSSC Advanced Apprenticeship in Retail Financial Services (Investment Administration Pathway including either Asset Servicing / CREST Settlement / Global Securities or ISA and CTF Administration)		6
Certificate in Company Secretarial Practice and Share Registration (including the Regulatory module within the examination)	Institute of Chartered Secretaries & 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 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 – 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 & 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 Financial Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – International Operations Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

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 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
CF1 – UK financial services, regulation and ethics	Chartered Insurance Institute	4
Certificate of Insurance Practice	Chartered Insurance Institute	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship in Retail Financial Services (Long Term Insurance Pathway including CF1)		4
Certificate for Financial Advisers – Paper 1 (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4

Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	4
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 Examinations	The Securities Association	4
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	5
Diploma – Regulation and Compliance Paper	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 – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
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)	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
Principles of Financial Regulation	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 Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
CF1 – UK financial services, regulation and ethics	Chartered Insurance Institute	5
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	5
FSSC Advanced Apprenticeship in Retail Financial Services (Long Term Insurance Pathway including		5

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

the listed examinations are appropriate)		
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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 Retail Financial Services (Long Term Insurance Pathway including CF1 & FA2)		1
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 the United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	4
Investment Management Certificate	CFA Society of UK (Formerly the 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 – 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
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 Management	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 Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations 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

Module		
Diploma – Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Member of the Securities Institute by examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
CF1 – UK financial services, regulation and ethics	Chartered Insurance Institute	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial Advisers – Paper 1 (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4

Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	4
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 Examinations	The Securities Association	4
UK Regulation and Markets version of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	5
Certificate in Investment Planning – Paper 1	Chartered Institute of Bankers in Scotland	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 – Unit 2 FSA Regulatory Environment – (Formerly the Investment Administration Qualification – 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
Principles of Financial Regulation	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 Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
CF1 – UK financial services, regulation and ethics	Chartered Insurance Institute	5
Financial Planning Certificate –	Chartered Insurance Institute	5

Paper 1		
Certificate for Financial Advisers Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Certificate for Financial Advisers – Paper 1 (Post 01/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Investment Advice Certificate – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Pensions Administration module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
FA2 – Pensions administration paper	Chartered Insurance Institute	6
Certificate of Insurance Practice (Pensions route)	Chartered Insurance Institute	6
Fellow or Associate (Pensions route)	Chartered Insurance Institute	6
Financial Planning Certificate Paper 2	Chartered Insurance Institute	6
Pensions law, taxation and administration paper (740) from the Associateship	Chartered Insurance Institute	6
Associate or Fellow	Faculty or Institute of Actuaries	6
Certificate for Financial Advisers Paper 2 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Initial Test of Competence	Institute of Chartered Accountants in England & 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/ Packaged Products	Law Society of England & Wales	6
Fellow or Associate (by examination)	Pensions Management Institute	6
In house module (only where the firm can demonstrate that none of the listed examinations is appropriate)		6

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 Certificate	Chartered Institute of Bankers in Scotland	1
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	1

Practice (MAPC) (Pre 16/09/2004)		
MAPC bridge paper plus entry requirements (Pre 31/10/2004)	Chartered Institute of Bankers in Scotland	1
Certificate in Mortgage Advice	Chartered Insurance Institute	1
Mortgage Advice Qualification (MAQ) plus entry requirements	Chartered Insurance Institute	1
FSSC Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway)		1
Certificate in Mortgage Advice and Practice (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Diploma for Mortgage Advice and Practice DipMAP (plus entry requirements)	ifs School of Finance	1
Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
CeMAP Bridge paper plus entry requirements	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
MAPC – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	3
Investment Advice Certificate – Paper 1 (No new registrations)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Certificate in Mortgage Advice – Paper 1	Chartered Insurance Institute	3
Financial Planning Certificate – Paper 1 (No registrations after 17/12/2004)	Chartered Insurance Institute	3
Certificate in Mortgage Advice and Practice – Paper 1 (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Certificate in Mortgage Advice and Practice (CeMAP) –Paper 1 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3

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 (Formerly known as Certificate in Financial Planning and Lifetime Mortgages)	Chartered Insurance Institute	1
Certificate in Regulated Equity Release (Formerly known as Certificate in Lifetime Mortgages)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Equity Release Mortgage Advice & Practice Certificate (ERMAPC)	Chartered Institute of Bankers in Scotland	1
Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	1
Lifetime Mortgage Advice and Practice Certificate	Chartered Institute of Bankers in Scotland	1
MAPC Bridge paper plus entry requirements (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	1
Mortgage Advice Qualification (MAQ) plus entry requirements	Chartered Insurance Institute	1
CeMAP bridge paper plus entry requirements (Pre 31/19/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
Certificate in Mortgage Advice and Practice (MAPC) – Paper 1 (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	3
Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)	Chartered Institute of Bankers in Scotland	3
Certificate in Investment and Financial Advice – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Investment Advice Certificate – Paper 1 (No new registrations)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Certificate in Mortgage Advice – Paper 1	Chartered Insurance Institute	3
Certificate in Mortgage Advice – Paper 1	Chartered Insurance Institute	3
Financial Planning Certificate – Paper 1 (No new registrations after 17/12/2004)	Chartered Insurance Institute	3
Certificate in Mortgage Advice and Practice (Post 1/11/2004) – Paper	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3

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

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 Appendix 1.1.1R

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

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

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

