TC Appendix 4E – Appropriate Qualification tables

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

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

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

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

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

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

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

Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK	b
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Investment Management Certificate	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	С
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	С
Investment paper (post-August 1994 syllabus)	Chartered Institute of Bankers in Scotland	С
Investment Advice Diploma (where candidate holds 3 modules including the securities module)	The Chartered Institute for Securities & Investment	а
Masters in Wealth Management (Post 2010 examination standards)	The Chartered Institute for Securities & Investment	а
Masters in Wealth Management (pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Securities and Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives – Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representatives Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Fellow or Associate or where the individual has	Faculty or Institute of Actuaries	а

passed all of the following modules CT1, CT2,		
CT4, CT5, CT6, CT7 and CT8		
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate or Fellow (life and pensions route only)	Chartered Insurance Institute	b
Financial Planning Certificate	Chartered Insurance Institute	C
G70 paper of the Advanced Financial Planning	Chartered Insurance Institute	С
Certificate		
Certificate for Financial Advisers (Pre 31/10/2004)	Ifs School of Finance (formerly the Chartered Institute of Bankers)	С
Initial test of competence	Institute of Chartered Accountants in England and Wales	С
Initial test of competence	Institute of Chartered Accountants in Ireland	С
Initial test of competence	Institute of Chartered Accountants in Scotland	С
London Stock Exchange Full Membership Exams	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
- where candidates hold three or four papers or	Securities & Investment Institute)	
have both the Stock Exchange Practice and		
Techniques of Investment papers		
BA (Hons) Financial Services, Planning and	Manchester Metropolitan University	а
Management		
TSA Registered Representative Examinations	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities &	С
	Investment Institute)	
BA in Accounting and Finance	University of Stirling	b
BA in Finance	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance	University of Stirling	b
(where candidates hold modules as		
recommended by the firm)		
MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Diploma	Association of Belgian Financial Analysts	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities course plus Conduct and	Canadian Securities Institute	d
Practices Handbook		
Investment Practice version of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	d
Management Certificate	Management & Research)	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Investment Management) – Unit 5		 .
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Securities) plus Securities Institute		
Level 3 Certificate in Investments (Derivatives) –		
Unit 3	FFFAC Conjection with apprendited examinations	4
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	Einangial Carviago Institute of Australagia (Formarky the Casurities Institute of Australia)	4
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d

Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Certificate Programme		
Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Registered Stock Broker	The Irish Stock Exchange	d
Promotore Finanziario Examination	Italian Exchange	d
Membership Examination	Johannesburg Stock Exchange	d
Registered Representative of Public Securities	Japanese Bankers Association	d
Examination (pre-April 1990)		
Representative of Public Securities Qualification –	Japanese Bankers Association	d
Class 1		
Representative of Public Securities Examination	Japanese Securities Dealers Association	d
(pre- April 1990)		
Representative of Public Securities Qualification –	Japanese Securities Dealers Association	d
Type 1		
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Elementary, Intermediate and International	Korea Securities Trading Institute	d
Capital Markets course		
Module B(ii), Securities and Portfolio	Law Society of England and Wales	d
Management		
Certificate	New Zealand Stock Exchange	d
Examination	NIBE SVV The Dutch Institute for the Banking, Insurance & Stockbroking Industry	d
International Capital Markets Qualification	Securities Institute/ South African Institute of Financial Markets	d
(including the Fixed Interest and Bond Markets		
Module)		
Dealers Representative Examinations	Singapore Exchange	d
Ordinary and Senior Certificates	South African Institute of Financial Markets	d
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	е
	Management & Research)	
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module		
Investment Administration Qualification – SFA	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module		
Securities and Investment Institute – Unit 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Regulation – (Formerly the Securities		
Institute Regulatory Paper)		
Investment Administration Qualification – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
FSA Regulatory Environment – (Formerly the		
Investment Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate - FSA Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

Regulation Module		
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
SFA Registered Persons Examination – Section 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
(Regulation)		

Qualification table for : Advising on (but not dealing in) Derivatives – Activity number 3 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	а
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4		
certificate) (post-2010 exam standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	а
certificate) (post-2010 exam standards) plus other		
qualifications that meet RDR specialist standards		
for derivatives		
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	b
Investment Management Certificate (pre-2010		
exam standards)		
Chartered Financial Analyst Program Level 1 plus	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	а
Investment Management Certificate (Level 4	Investment Management & Research)	
certificate) (post-2010 exam standards)		
Chartered Financial Analyst Program Level 1 plus	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	b
Investment Management Certificate (pre-2010	Investment Management & Research)	
exam standards)		
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	b
	Management & Research)	
Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	С
	Management & Research)	
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	Ь
·	Management & Research)	
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	С
Investment paper (post August 1994 syllabus)	Chartered Institute of Bankers in Scotland	С
Masters in Wealth Management (post 2010	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
examination standards)		
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
(where candidate holds 3 modules as		
recommended by the firm)		
Masters in Wealth Management (pre 2010	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
examination standards)		
Diploma (where candidate holds 3 modules as	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
recommended by the firm)		
Certificate in Private Client Investment Advice and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b

Management		
Certificate in Private Client Investment Advice and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Management (attained through a CISI competency		b
interview and presentation only)		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in	The Objective Health to the Over March Black and the Over March Black a	
Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in	The Chartered Institute for Cognition & Investment (Formarky the Cognition & Investment Institute)	
Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	
Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Examination	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	С
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	_
Representative Examination	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	С
SFA Securities Representative plus Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Derivatives Module	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	C
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate or Fellow (life and pensions route only)	Chartered Insurance Institute	b
Fellow or Associate or where the individual has		
passed all of the following modules CT1, CT2,	Faculty or Institute of Actuaries	а
CT4, CT5, CT6, CT7 and CT8		
Financial Planning Certificate	Chartered Insurance Institute	С
G70 paper of the Advanced Financial Planning	Chartered Insurance Institute	С
Certificate		C
Certificate for Financial Advisers (pre 31/10/2004)	Ifs School of Finance (formerly Chartered Institute of Bankers)	С
Initial test of competence	Institute of Chartered Accountants in England and Wales	С
Initial test of competence	Institute of Chartered Accountants in Ireland	С
Initial test of competence	Institute of Chartered Accountants in Scotland	С
London Stock Exchange Full Membership Exams	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
 where candidates hold three or four papers or 	Securities & Investment Institute)	
have both the Stock Exchange Practice and		
Techniques of Investment papers		
BA (Hons) Financial Services, Planning and	Manchester Metropolitan University	_
Management		а
TSA Registered Representative Examinations	The Securities Association	С
International Capital Markets Qualification (ICMQ)		
including a pass in Futures, Options and other	Securities Institute/ South African Institute of Financial Markets	С
Derivative Products paper		
BA in Finance and Accounting	University of Stirling	b

MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance		
(where candidates hold modules as recommended	University of Stirling	b
by the firm)		
MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Chartered Financial Analyst	CFA Institute	d
Investment Practice paper of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	р
Management Certificate	Management & Research)	u
Investment Paper (pre-August 1994 syllabus)	Chartered Institute of Bankers in Scotland	d
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	р
Investments (Investment Management) – Unit 5	The chartered institute for Securities & investment (Formerly the Securities & investment institute)	u
Diploma including passes in both the Australian	Financial Services Institute for Australasia (Formerly the Securities Institute of Australia)	р
Futures Trading and Options papers	Financial Services institute for Australasia (Formerly the Securities institute of Australia)	u
International Fixed Income and Derivatives (IFID)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	р
Certificate Programme		u
Investment Management Paper from the	Ifs School of Finance (formerly the Chartered Institute of Bankers)	р
Associateship		u
Investment Planning Paper – Paper 2	Institute of Bankers in Ireland	d
Registered Representative of Public Securities	Jananasa Pankara Association	7
Examination (pre April 1990)	Japanese Bankers Association	d
Representative of Public Securities Qualification –	Japanese Bankers Association	d
Class 1	Japanese Bankers Association	u
Representative of Public Securities Examination	Japanese Securities Dealers Association	р
(pre April 1990)	Japanese Securities Dealers Association	u
Representative of Public Securities Qualification –	Japanese Securities Dealers Association	р
Type 1	Japanese Securities Dealers Association	u
Module B(ii), Securities and Portfolio Management	Law Society of England and Wales	d
Series 3 – Futures Representative Examination	National Futures Association	d
Examination	NIBE SVV the Dutch Institute for Banking, Insurance & Stockbroking Industry	d
Examination	Norwegian Society of Financial Analysts	d
Singapore Exchange Futures Trading Test	Singapore Institute of Banking & Finance	d
Registered Representative Examination	Sydney Futures Exchange	d
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO	The Objectional Institute for Occupition 9 Institute (Company of the Occupition 9 Institute)	_
Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – SFA	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	
Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – Unit 2		
FSA Regulatory Environment (Formerly the	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module)		

Investment Operations Certificate - FSA Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulation Module		
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Securities & Investment Institute – Unit 1 Financial		
Regulation (Formerly the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Paper)		
SFA Registered Persons Examination – Section 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
(Regulation)	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	e
Unit 1 – Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Unit 1 LIK Degulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	
Unit 1 – UK Regulation and Markets	Management & Research)	e
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

Qualification table relating to : Advising on Packaged Products (which are not broker funds) and Friendly Society tax-exempt policies - Activity Numbers 4 and 6 in		
TC Appendix 1.1.1 R Qualification	Qualification Provider	Key
Foundation Degree Award in Financial Services	Blackburn College – University Centre	a
BA in Financial Services (1995 to 2001)	Bournemouth University	b
MA in Financial Services (1995 to 2001)	Bournemouth University	b
Post Graduate in Financial Services (1995 to 2001)	Bournemouth University	b
Diploma in Professional Financial Advice	Calibrand/ Scottish Qualifications Authority	а
Diploma in Professional Financial Advice (NMBA – Alternative Assessment method)	Calibrand/Scottish Qualifications Authority	а
Diploma in Investment Planning (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (Retail Banking) (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (Retail Banking) (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
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	С
Investment Paper (post-August 1994 Syllabus)	Chartered Institute of Bankers in Scotland	С
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)	а
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and 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)	С
Diploma in Regulated Financial Planning	Chartered Insurance Institute	а
Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)	Chartered Insurance Institute	а
Advanced Diploma in Financial Planning	Chartered Insurance Institute	b
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate (ACII) (where candidate holds appropriate life and pension modules)	Chartered Insurance Institute	b
Associate (ALIA Dip)	Chartered Insurance Institute	b
Diploma in Financial Planning	Chartered Insurance Institute	b
Fellow (FCII) (where candidates hold appropriate life and pensions modules)	Chartered Insurance Institute	b
Certificate in Financial Planning	Chartered Insurance Institute	С
Financial Planning Certificate (No new registrations after 17/12/2004)	Chartered Insurance Institute	С
Fellow (FLIA Dip)	Chartered Insurance Institute	b
Fellow or Associate or where the individual has passed all of the following modules CT1, CT2, CT4, CT5, CT6, CT7 and CT8	Faculty or Institute of Actuaries	а
FSSC Advanced Apprenticeship in Advising on Financial Products (Financial Advice Pathway)		С
Associate (where candidate has passed the investment module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Diploma for Financial Advisers (pre 2010 examination standards)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Professional Investment Certificate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b

Diploma for Financial Advisers (post 2010)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	а
Certificate for Financial Advisers (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	C
Certificate for Financial Advisers (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	C
Professional Certificate in Banking (PCertB)		
(where candidate has passed the Practice of	ifs School of Finance (Formerly the Chartered Institute of Bankers)	а
Financial Advice module)	and derived in marioe (i entirely the enalitered methods)	ď
Initial test of competence	Institute of Chartered Accountants in England and Wales	С
Initial test of competence	Institute of Chartered Accountants in Ireland	С
Initial test of competence	Institute of Chartered Accountants in Notland	C
Certified Financial Planner	Institute of Financial Planning	b
Fellowship	Institute of Financial Planning	b
Module B(i) Retail Branded/Packaged Products	Law Society of England and Wales	d
London Stock Exchange Full Membership Exams	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
where candidates hold three or four papers or	Securities & Investment Institute)	5
have both the Stock Exchange Practice and		
Techniques of Investment papers		
BA (Hons) Financial Services, Planning and		
Management	Manchester Metropolitan University	а
BA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
MA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
Post Graduate in Financial Services (1995 to	Sheffield Hallam University	U U
2001)		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 University of the West of England	b
Post Graduate in Financial Services (1995 to	Offiversity of the West of England	b
2001)	University of the West of England	b
Investment Management Paper from the		
Associateship	Ifs School of Finance (formerly the Chartered Institute of Bankers)	d
Investment Planning Paper 2	Institute of Bankers in Ireland	d
Investment paper (pre-August 1994 syllabus)	Chartered Institute of Bankers in Scotland	d
Certificate in Investment Planning Paper 1 (Pre		u u
31/10/2004)	Chartered Institute of Bankers in Scotland	е
Certificate in Investment Planning – Paper 1 (Post		
17/09/2004)	Chartered Institute of Bankers in Scotland	е
Certificate in Investment and Financial Advice –		
Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Advice Certificate Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	е
Certificate in Financial Planning – Paper 1	Chartered Insurance Institute	е
Certificate for Financial Advisers – Paper 1 (Post	ifs School of Finance (Formerly the Chartered Institute of Bankers)	
1/11/2004)		е
Certificate for Financial Advisers Paper 1 (Pre	if Calcal of Figure 2 (Farmand the Object and Institute of Banks 2)	_
31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е

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

Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	а
Chartered Financial Analyst Program Level 1 plus Investment	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	а
Management Certificate (Level 4 certificate) (post-2010 exam standards)	Institute of Investment Management & Research)	
Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet RDR specialist standards for securities	CFA Institute/ CFA Society of UK	а
Chartered Financial Analyst plus Unit 1 of the Investment Management certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (pre-2010 exam standards)	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Investment Management Certificate (Level 3)	CFA Society of UK	С
Associateship – must include a pass in the investment paper	Chartered Institute for Bankers in Scotland	b
Investment Advice Diploma (where candidate holds 3 modules including the securities module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Masters in Wealth Management (based on post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Securities - Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives – Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С

Management)		
Securities Institute Level 3 Certificate in Investments (Securities &	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Financial Derivatives)		
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities and Financial Derivatives Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination		
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
G70 paper of the Advanced Financial Planning Certificate	Chartered Insurance Institute	С
Associateship (must include a pass in the Investment Paper)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
London Stock Exchange Full Membership Exams – where	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment;	b
candidates hold three or four papers or have both the Stock	Formerly the Securities & Investment Institute)	
Exchange Practice and Techniques of Investment papers		
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	а
TSA Registered Representative Examinations	The Securities Association	С
BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
MSc in Investment Analysis	University of Stirling	b
MSc in Finance	University of Stirling	d
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
Secondary Examination	Analyst Association of Japan	d
Diploma	Association of Belgian Financial Analysts	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities Course plus Conduct and Practices	Canadian Securities Institute	d
Handbook		
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representatives Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities	d
	Dealers (NASD)	
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Programme		
General Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Irish Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Promotore Finanziario Examination	Italian Exchange	d
Registered Representative of Public Securities Examination (pre	Japanese Bankers Association	d
April 1990)		
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Registered Representative of Public Securities Examination (pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
Membership Examinations	Johannesburg Stock Exchange	d
Elementary, Intermediate and International Capital Markets	Korea Securities Training	d

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

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

certificate) (post-2010 exam standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	а
certificate) (post-2010 exam standards) plus	CFA Institute/ CFA Society of OK	а
other qualifications that meet specialist		
standards for advising on securities	OFA 0	
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management	b
•	& Research)	
Investment Management Certificate	CFA Society of UK	С
Associateship – must include a pass in the	Chartered Institute of Bankers in Scotland	b
Investment Paper		
Investment Advice Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
and Management		
Certificate in Private Client Investment Advice	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
and Management (attained through a CISI		
competency interview and presentation only)		
Masters in Wealth Management (based on	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
pre 2010 examination standards)		
Masters in Wealth Management (based on	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
post 2010 examination standards)	The chartered methate for essentiate a investment (i entirely the essentiate a investment methate)	
Diploma (where candidate holds 3 modules	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
as recommended by the <i>firm</i>)	The original module for described a investment (i orinorly the described a investment institute)	
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
		+ -
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Derivatives 10.0 cm	TI OI + 11 (1 + 1 O 11 O 11 O 11 O 11 O 11 O	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Derivatives)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Investment Management)		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Investments (Securities & Financial		
Derivatives)		
Member of the Securities Institute (MSI Dip)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
(where candidate holds 3 modules as		
recommended by the firm)		
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Examination		
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Representative Examination		
Financial Derivatives paper of Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
plus Financial Derivatives Module	The design of th	
piao i mandiai Donivativos ividuale		

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

Representative of Public Securities	Japanese Securities Dealers Association	d
Qualifications – Type 1 Module B(ii), Securities and Portfolio Management	Law Society of England and Wales	d
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)	е
Unit 1 – UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	е
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – SFA Regulatory Environment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – Unit 2 FSA Regulatory Environment (Formerly the Investment Administration Qualification – Regulatory Environment Module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

Qualification table for : Advising on	Long-term care insurance contracts – Activity number 7 in TC Appendix 1.1.1R	
Qualification	Qualification Provider	Key
Certificate in Financial Planning plus	Chartered Insurance Institute	1
the Award in Long Term Care		
Insurance		
G80 paper of Advanced Financial	Chartered Insurance Institute	1
Planning Certificate (October 2004)		
plus appropriate exam requirements		
for TC 2.1.4R(1)(f)		
Certificate for Financial Advisers &	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Certificate in Long-term Care		
Insurance		
FSSC Advanced Apprenticeship in		1

Advising on Financial Products (Long Term Care Insurance Pathway)		
National Diploma:Financial Services	Insurance Sector Education and Training Authority	2
Long-Term Risk Assessment		

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
ellow or Associate	Institute of Chartered Accountants in Ireland	1
Member	Institute of Chartered Accountants in Scotland	1
Member or Affiliate	Association of Chartered Certified Accountants	1

Stock Exchange Registered	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	1
Representative Examination	Securities & Investment Institute)	
TSA Registered Representative	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities &	1
Examination	Investment Institute)	
Secondary Examination	Analyst Association of Japan	2
Investment Practice version of the	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management Certificate	Management & Research)	
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – Paper 2		
Diploma – Corporate Finance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) – Unit 5		
Registered Representative of Public	Japanese Bankers Association	2
Securities Examination (pre-April		
1990)		
Representative of Public Securities	Japanese Securities Dealers Association	2
Examination (pre-April 1990)		
Representative of Public Securities	Japanese Bankers Association	2
Qualification – Class 1		
Representative of Public Securities	Japanese Securities Dealers Association	2
Qualification – Type 1		_
Module B(ii), Securities and Portfolio	Law Society of England & Wales	2
Management		
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance & Stockbroking Industry	2
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
MSc in international Accounting and	University of Stirling	2
Finance (where candidates hold		
modules as recommended by the		
firm)		
UK Regulation and Markets version	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	3
of Investment Management	Management & Research)	
Certificate Diploma Pagulation and	The Chartered Institute for Convities 9 Investment /Forms which a Convities 9 Investment Institute	2
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Compliance Paper Investment Administration	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	2
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – IMRO Regulatory		
Environment Module Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – SFA Regulatory	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	٥
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Qualification – Unit 2 FSA	The Charleted Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Regulatory Environment – (Formerly		
the Investment Administration		
are investment Administration		

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

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

Qualification table for : Acting as a <i>Pension transfer specialist</i> – Activity number 11 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Fellow or Associate including three 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	Qualification Provider	Key
Certified International Wealth	Association of International Wealth Management (AIWM)	1
Manager Diploma (CIWM)		
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	1
Certificate (both pre and post 2010 examination standards)	Management & Research)	
Fellow or Associate by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	1
	Management & Research)	
Certificate in Private Client	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Investment Advice and		
Management		
Certificate in Private Client	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Investment Advice and		
Management (attained through a		
CISI competency interview and		
presentation only)		
Diploma (where candidate holds 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
modules as recommended by the		
firm)		
Investment Advice Diploma (where	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
candidates hold technical modules		
as recommended by the firm)		
Masters in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management		
Level 6 Diploma in Wealth	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investments		
(Investment Management)		
London Stock Exchange Full	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	1
Membership Exams – where	Securities & Investment Institute)	
candidates hold three or four		
papers or holds both the Stock		
Exchange Practice and Technique		
of Investment Papers		
Advanced Financial Planning	Chartered Insurance Institute	1
Certificate (must include a pass in		
G70 paper)		
Associate – achieved by	Faculty or Institute of Actuaries	1
examination passed before 1		
December 2001 (must include a		
pass in Subject 301 – Investment		

and Asset Management (syllabus in force from 1998)		
Fellow – achieved by examination	Faculty or Institute of Actuaries	1
(must include a pass in subjects		
301 and 401 Investment and Asset		
Management (syllabus in force		
from 1998)		
Fellow or Associate by examination	Faculty or Institute of Actuaries	1
(must include Investment Paper E		•
(Syllabus in force until 1998))		
MSc in International Accounting	University of Stirling	1
(where candidates hold modules		'
as recommended by the <i>firm</i>)		
MSc in Investment Analysis	University of Stirling	1
Certified International Investment	The Association of Certified International Investment Analysts (ACIIA)	2
Analyst (CIIA)	The Association of Certified international investment Analysis (ACIIA)	
Chartered Financial Analyst (Level	CFA Institute	2
1)	OFA IIISUIULE	2
	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management Asset		2
Allocation Qualification	Management & Research)	
Investment Practice Version of	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management	Management & Research)	
Certificate (both pre and post 2010		
reformed Appropriate Exam		
standards versions)	The Objective Health to the One office Objective of Francis III Co. 1881 Objective of 1881 Objective Objec	
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – paper 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) – unit 5		_
Certified European Financial	EFFAS Societies with accredited examinations	2
Analyst		
IPF Certificate in Property	Investment Property Forum	2
Investment		
Associate – achieved by	Faculty or Institute of Actuaries	2
examination passed after 30		
November 2001 (must include a		
pass in subject 301 – Investment		
and Asset Management (syllabus		
in force from 1998)		
Chartered Member	Securities Analysts Association of Japan	2
Certificate in Investment	Society of Investment Analysts in Ireland	2
Management (at least 3 papers		
passed by examination)		
, ,	South African Institute of Financial Markets	2
Ordinary and Senior Certificates	South Amean 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	3
Unit 1 – Financial Regulation	Management & Research) 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

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	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
 Introduction to Securities and 		
Investment Module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2		
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
- Unit 4	TI OL 1 11 (11 1 0 11 11 11 11 11 11 11 11 11 11 11	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		

SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination	The Obstant Heaffe to Constitute Obstant (Found of the Obstant)	1
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
Practice (including the Regulatory		
module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Northern Ireland	4
TSA Registered Representative	The Securities Association	4
Examination		
Fellow or Associate	Pensions Management Institute	4
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management & Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management & Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management & Research)	
Management Certificate		_
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
– Paper 1	The Obstant Heaffers (a. O 25 a. O. l attended (5 attended (6 attended	<u> </u>
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory		
Environment	The Observed limiting for Occupition Observed (Forms of the Occupition Observed Limiting)	-
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation Cartificate in Investment	The Chartered Institute for Cognition & Investment (Formarily the Cognition & Investment Institute)	
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

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

Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration	Institute of Griditered Secretaries & Administrators	3
Practice (including the Regulatory		
module within the examination)		
TSA Registered Representative	The Securities Association	5
Examination	The Occumics Association	Ĭ
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The Charleted Institute for Securities & Investment (Formerly the Securities & Investment Institute)	0
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The oriantered manage for occurries & investment (i orinerly the occurries & investment institute)	Ŭ
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module	The oriantered manage for occurries & investment (i orinerly the occurries & investment institute)	Ŭ
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Collective	The chartered methods of investment (i cimeny the occurries a investment institute)	Ŭ
Investment Schemes		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Collective Investment Schemes	The chartered mentale for eccannes a investment (i cimeny the eccannes a investment mentale)	ľ
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 Asset Servicing Module 		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Basics of CREST		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Bond Settlement		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification CREST Settlement		
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
- CREST Settlement Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Derivatives		
Operations Module	The Chartered Institute for Cognition 9 Investment (Formerly the Cognition 9 Investment Institute)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Exchange – Traded		
Derivative Administration Module	The Chartered Institute for Cognition 9 Investment / Forms which a Cognition 9 Investment Institute	6
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 Exchange –Traded Derivative Administration Module 		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Global Custody	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	Ö
Qualification Global Custouy	I .	

Module		
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 – 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 n Company Secretarial Practice and Share Registration	Institute of Chartered Secretaries & Administrators	6

Practice (including the Regulatory module within the examination)		
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	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management & Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
- Paper 1		
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance & Accountancy	4
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
 Introduction to Securities and 		
Investment Module		
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives –Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2		
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations 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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Membership of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Member or Associate	Chartered Institute of Bankers in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4

Practice and Share Registration		-
Practice (including Regulatory module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	1
		4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examination		
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management & Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management & Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management & Research)	
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory		
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation	, , , , , , , , , , , , , , , , , , , ,	
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management	, , , , , , , , , , , , , , , , , , , ,	
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	, , , , , , , , , , , , , , , , , , , ,	
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module		
Diploma Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module	(omeny me desamble of meaning)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	The chartered mentals for eccumine a investment (i entirely the eccumine a investment mentals)	
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory	The character mentale for ecounties a investment (i officing the ecounties a investment institute)	
Environment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
FSA Financial Regulation	The oriented manufactor decurries a investment (i orinory the occurries a investment institute)	3
Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The Charleted module for Securities & investment (Formerly the Securities & investment institute)	3
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
(Investment Management)	The Chartered Institute for Convities 9 Investment (Forms with the Convities 9 Investment Institute)	F
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5

Unit 1 Financial Regulation		
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination	The Charleted Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
(Regulation)	The Chartered Institute for Convities & Investment / Correspond the Convities & Investment Institute	-
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination	The Chartered limits to far Convision Of Investment (Forms only the Convision Of Investment Institute)	-
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		_
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	5
Representative Examination	Securities & Investment Institute)	
Financial Planning Certificate	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 pre 31/10/2004		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration		
Practice (including the Regulatory		
module within the examination)		
TSA Registered Representative	The Securities Association	5
Examinations		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global Securities	, , , , , , , , , , , , , , , , , , , ,	
Operations Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
- Global Securities Operation		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Private Client	The character method a investment (i chinery the coordinate a investment method)	
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Private Client Administration	The Shartered mentale for Securities a investment (i officiny the Securities a investment institute)	
Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The Charleted module for Securities & investment (Formerly the Securities & investment institute)	١
	The Chartered Institute for Securities & Investment (Formerly the Convision & Investment Institute)	6
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The Objective Head to the Occupation Objective Advantage Occupation (Figure 1)	
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module	TI OL 4 11 (14 / O 11	1
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

Qualification Asset Convising		
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 – 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 – 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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

Qualification OEIC Administration Module		
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.

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

(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship in		4
Retail Financial Services		
(investment Administration		
Pathway including the Introduction		
to Securities and Investment		
module)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
(including the Regulatory module		
within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4

Examinations		
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management & Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management & Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of Investment Management	Management & Research)	
Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
 FSA Financial Regulation 		
Module		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management		
Diploma - Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	,	
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	,,,	
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	,	
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	,	
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory	,	
Environment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	the comment of the co	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments	the comment of the co	
(Investment Management)		
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation	(2 (2 (2	
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination	The Shartered institute for Securities a investment (i Shifterly the Securities a investment institute)	
Representative Examination		

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

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

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

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

Activity number 18 in TC Appendix 1.1.1R

Qualification	Qualification Provider	Key
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4

Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management & Research)	
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
- Paper 1		
Member or Associate	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance & Accountancy	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2	,	
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module	,	
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Module	· · ·	
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
 Introduction to Securities and 		
Investment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Membership of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		1.
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		

(Opposition 0 Financial Decimal)		1
(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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination	, , , , , , , , , , , , , , , , , , , ,	
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
CF1 – UK financial services,	Chartered Insurance Institute	4
regulation and ethics		
Certificate of Insurance Practice	Chartered Insurance Institute	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship in		4
Retail Financial Services (Long		
Term Insurance Pathway including		
CF1)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Post 1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England and Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Paper		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory		

Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory	, , , , , , , , , , , , , , , ,	
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Unit 2 FSA	, , , , , , , , , , , , , , , ,	
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
FSA Financial Regulation	The chartered medicale for ecodinics a investment (i chinery the ecodinics a investment medicale)	
Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The chartered institute for essentiate a investment (i chinery the essentiate a investment institute)	Ŭ.
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –	The original matrice for occurring a investment in original and occurring a investment institute,	
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1	The original institute for Securities & investment (Formerly the Securities & investment institute)	3
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		3
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		3
FSSC Advanced Apprenticeship in		5
Retail Financial Services (Long		3
Term Insurance Pathway including		
CF1)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Post 1/11/2004)	113 School of Fillance (Formerly the Chartered Institute of Barkers)	3
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)	lis oction of Finance (Formerly the chartered institute of bankers)	3
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration	Institute of chartered decretaties & Administrators	
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	6
version of Investment Management	Management & Research)	
Certificate	Management & Nescalon)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Life Policy	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	
Administration Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
	The Grantered institute for Securities & investment (Formerly the Securities & investment institute)	U
Paper 2	Chartered Incurance Institute	6
Certificate of Insurance Practice	Chartered Insurance Institute	6

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

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

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

Activity number 19 in TC Appendix 1.1.1R

Nouvely hambor to in 10 Appoints Hink		
Qualification	Qualification Provider	Key
FSSC Advanced Apprenticeship in		1

Retail Financial Services (Long		
Term Insurance Pathway including		
CF1 & FA2)		
Member	Association of Accounting Technicians	4
Fellow or Associate	Association of Chartered Certified Accountants	4
Fellow or Associate	Association of Corporate Treasurers	4
Fellow or Associate by	CFA Society of UK (Formerly the United Kingdom Society of Investment Professionals/ Institute of Investment	4
examination	Management & Research)	
Investment Management	CFA Society of UK (Formerly the United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	
Fellow or Associate	Chartered Institute of Bankers in Ireland	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	4
– Paper 1		
Member or Associate	Chartered Institute of Bankers in Scotland	4
Fellow or Associate	Chartered Institute of Management Accountants	4
Fellow or Associate	Chartered Institute of Public Finance and Accountancy	4
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management		
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives – Paper 2		
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Qualification – Introduction to		
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
- Introduction to Securities and		
Investment Module	The Objective Health to the Occasion of the output (France), the Occasion of t	
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1	The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute)	1
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
by examination Securities Institute Level 3	The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute)	1
Certificate in Investments	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities motiture Level 3	The Charleten manute for Securities a investment (Formeny the Securities a investment institute)	4

Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments	The character in cooling a investment (i chinely the coolings a investment institute)	
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
CF1 – UK financial services,	Chartered Insurance Institute	4
regulation and ethics		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Post 1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management & Research)	
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5

- Paper 1		
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance module	The chartered mentals for eccumine a investment (i cimen) are eccumined a investment mentals)	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	The chartered mentale for eccurated a investment (i emissing the eccurated a investment mentale)	
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Unit 2 FSA	The oriantered institute for occurries a investment (i officing the occurries a investment institute)	l o
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
– FSA Financial Regulation		
Module	The Chartered Institute for Convities 9 Investment (Forms only the Convities 9 Investment Institute)	
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The Chartered lastitute for Convities 2 laws stress to (Forms which a Convities 2 laws stress at lastitute)	
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –		
(Formerly the Securities Institute		
Regulatory Paper)		_
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Post 01/11/2004)		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Paper 2		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Pensions		
Administration module		
FA2 – Pensions administration	Chartered Insurance Institute	6
paper		
Certificate of Insurance Practice	Chartered Insurance Institute	6
(Pensions route)		
Fellow or Associate (Pensions	Chartered Insurance Institute	6
route)		
Financial Planning Certificate	Chartered Insurance Institute	6
Paper 2		
. ~P~! =	I	

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		6
firm can demonstrate that none of		
the listed examinations is appropriate)		

Qualification	Qualification Provider	Key
Mortgage Advice and Practice Certificate	Chartered Institute of Bankers in Scotland	1
Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004)	Chartered Institute of Bankers in Scotland	1
MAPC bridge paper plus entry 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	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1

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

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

ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
······································	
ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Chartered Institute of Bankers in Scotland	3
Chartered Institute of Bankers in Scotland	3
Chartered Institute of Bankers in Scotland	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Chartered Insurance Institute	3
Chartered Incorporate Institute	
Chartered insurance institute	3
Chartered Incurance Institute	1 2
Chartered insurance institute	3
ife School of Finance (Formarky the Chartered Institute of Pankers)	3
is school of Finance (Formerly the Chartered Institute of Dankers)	٥
ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
The deficer of Finance (Fermiony the diffactored institute of Bankers)	
ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
and defined to a minimizer (a definition of the	
	Chartered Institute of Bankers in Scotland

Qualification table for : Designing recommendations – Activity number	scripted questions for use in sales to customers of <i>regulated lifetime mortgage contracts</i> which do not involve <i>p</i> per 22 in TC Appendis 1.1.1R	personal
Qualification	Qualification Provider	Key
Equity Release Mortgage Advice &	Chartered Institute of Bankers in Scotland	1
Practice Certificate (ERMAPC)		
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	1
Practice (MAPC) (Pre 16/09/2004)		
Lifetime Mortgage Advice and	Chartered Institute of Bankers in Scotland	1

Practice Certificate		
	Chartered Institute of Bankers in Scotland	1
MAPC bridge paper plus entry requirements (Pre 16/09/2004)	Charleted institute of parkers in Scotland	1
	Chartered Insurance Institute	1
Certificate in Equity Release		1
Mortgage Advice Qualification	Chartered Insurance Institute	1
(MAQ) plus entry requirements	Y O L L (E)	4
Certificate in Regulated Equity	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
release		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
Practice (CeMAP) (Pre		
31/10/2004)		
CeMAP bridge paper plus entry	ifs School of Finance (Formerly the Chartered Institute of Bankers)	1
requirements (Pre 31/10/2004)		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	3
- Paper 1 (Pre 16/09/2004)		
Certificate in Mortgage Advice and	Chartered Institute of Bankers in Scotland	3
Practice (MAPC) – Paper 1 (Pre		
16/09/2004)		
Certificate in Investment and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Financial Advice – Paper 1	, , ,	
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Paper 1 (No new registrations)		
Financial Planning Certificate –	Chartered Insurance Institute	3
Paper 1 (No new registrations after		
17/12/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Paper 1 (Pre 31/10/2004)	and defined in a manual in a manual of Editional	
		L

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