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 <i>accredited body</i> by 31 December 2012 |
| С | Meets full qualification requirement up to 31 December 2012 |
| d + e | Meets full qualification requirement up to 31 December 2012 |

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

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

Qualification table for : Advising on (but not dealing in) securities (which are not stakeholder pension schemes, 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 |
| CIIA qualification (provided it is accompanied with | Association of Certified International Investment Analysts (ACIIA) | а |
| appropriate qualifications modules covering | | |
| regulation & ethics, investment principles & risk | | |
| and personal taxation) | | |
| MSC in Banking and International Finance | CASS Business School | а |
| (provided it is accompanied with appropriate | | |
| qualifications modules covering regulation & | | |
| ethics, investment principles & risk and personal | | |
| taxation) | | |
| 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 | STATIONAL OF THE GOOD STATE | ~ |
| 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 | 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 | b |
| Investment Management Certificate (pre-2010 | Investment Management & Research) | |
| exam standards) | | |
| Investment Management Certificate | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of | С |
| - | Investment Management & Research) | |
| Fellow by examination | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | b |
| | Management & Research) | |
| Associate | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | b |
| | 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 |
| Investment Advice Diploma (where candidate | The Chartered Institute for Securities & Investment | а |
| holds 3 modules including the securities module) | | |
| Masters in Wealth Management (Post 2010 | The Chartered Institute for Securities & Investment | а |
| examination standards) | | |
| Masters in Wealth Management (pre 2010 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| examination standards) | | |
| 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 competency | | |
| interview and presentation only) | | |
| Diploma (where candidate holds 3 modules as | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| recommended by the firm) | | |
| Investment Advice Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| 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 <i>firm</i>) | The Objective Head to the Oare Star Objective of (Farmer), the Oare Star Objective (Head) | |
| 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 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Investments (Investment Management) | | |

| 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 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Investments (Securities and Financial | The oriented institute for occurries a investment (i orinterly the occurries a investment institute) | |
| Derivatives) | | |
| | The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute) | |
| Certificate in Securities and Financial Derivatives | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| - Retail | T 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | |
| 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 | С |
| 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 <i>firm</i>) | | |
| MSc in Investment Analysis | University of Stirling | b |
| ACI Dealing Certificate | ACI | d |
| ACI Diploma | ACI | a |
| 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 |
| Coounties montain Level 5 Certificate in | The Granered mentale for occurring a investment it officery the occurring a investment institute) | <u> </u> |

| Investments (Investment Management) – Unit 5 | | |
|---|--|---|
| Securities Institute Level 3 Certificate in | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | d |
| Investments (Securities) plus Securities Institute | , | |
| Level 3 Certificate in Investments (Derivatives) – | | |
| Unit 3 | | |
| Certified European Financial Analyst | EFFAS Societies with accredited examinations | d |
| Series 7 – General Securities Representative | Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD) | d |
| Examination | | |
| Certificate in Financial Markets | Financial Services Institute of Australasia (Formerly the Securities Institute of Australia) | d |
| Diploma of Financial Markets | Financial Services Institute of Australasia (Formerly the Securities Institute of Australia) | d |
| Examination | French Society of Investment Analysts | d |
| International Fixed Income and Derivatives (IFID) | ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) | d |
| Certificate Programme | | |
| Registered Representative Examination | Irish Stock Exchange/ Dublin City University | d |
| Registered Stock Broker | The Irish Stock Exchange | d |
| Promotore Finanziario Examination | Italian Exchange | d |
| Membership Examination | Johannesburg Stock Exchange | d |
| Registered Representative of Public Securities | Japanese Bankers Association | d |
| Examination (pre-April 1990) | | |
| Representative of Public Securities Qualification – | 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 | |
| MSC in Banking and International Finance (provided it is accompanied with appropriate qualifications modules covering regulation & ethics, investment principles & risk and personal taxation) | CASS Business School | а | |
| Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) | CFA Institute/ CFA Society of UK | а | |
| Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet RDR specialist standards for derivatives | CFA Institute/ CFA Society of UK | а | |
| Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (pre-2010 exam standards) | CFA Institute/ CFA Society of UK | b | |
| Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | а | |
| Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (pre-2010 exam standards) | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b | |
| Associate | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b | |
| Investment Management Certificate | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | С | |
| Fellow by examination | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b | |

| 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 (where candidate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | а |
| holds 3 units including the Derivatives unit) | | |
| 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) | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | b |
| 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 | | b |
| Certificate in Private Client Investment Advice and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | |
| Management (attained through a CISI | | b |
| competency 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 | | _ |
| Investments (Derivatives) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | C |
| Securities Institute Level 3 Certificate in | The Chartered Institute for Convities 8 Investment (Formark the Convities 8 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 Convities 8 Investment (Formerly the Convities 8 Investment Institute) | |
| Investments (Securities & Financial Derivatives) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| SFA Futures and Options Representative | The Objectional Institute for Occupition 9 Institute of Forms of the Occupition 9 Institute | _ |
| Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| SFA Securities and Financial Derivatives | The Chartered Institute for Cogurities & Investment (Formark) the Cogurities & Investment Institute | |
| Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| SFA Securities Representative plus Financial | The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute) | |
| Derivatives Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| 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 Incurance Institute | |
| Certificate | Chartered Insurance Institute | С |
| 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 Ireland Institute of Chartered Accountants in Ireland Institute of Chartered Accountants in Ireland Institute of Chartered Accountants in Chartered Institute for Securities & Investment, Formerly the Condon Stock Exchange Full Membership Exams — where candidates hold three or four papers or have both the Stock Exchange Practice and Tachniques of Investment papers BA (Hons) Financial Services, Planning and Manchester Metropolitan University Banagament TSA Registered Representative Examinations International Capital Markets Qualification (ICMQ) Including a pass in Futures, Options and other Darkeliev Products paper University of Stiffing ACI Dealing Certificate ACI Dealing Certificate ACI Dealing Certificate ACI ACI Diploma ACI Act Diploma ACI | Initial test of competence | Institute of Chartered Accountants in England and Wales | С |
|--|---|--|------|
| London Stock Exchange Full Membership Exams—where candidates hold three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management TSA Registered Representative Examinations International Capital Markets Qualification (ICMQ) including a pass in Futures, Options and other Derivative Products paper BA in Finance and Accounting MSc in Finance University of Stirting MSc in International Accounting and Finance (where candidates hold motules as recommended by the film) MSc in International Accounting and Finance MSc in International Accounting and Finance (where candidates hold motules as recommended by the film) MSc in International Investment Analysis ACI Dealing Certificate ACI Diploma ACI Diploma ACI Chiptoma ACI Chartered Financial Analysis ACI Chipsenson Accounting A | Initial test of competence | Institute of Chartered Accountants in Ireland | С |
| - where candidates hold three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management TSA Registered Representative Examinations International Capital Markets Qualification (ICMQ) including a pass in Futures, Options and other Derivative Products paper BA in Finance and Accounting University of Stirling University of | Initial test of competence | Institute of Chartered Accountants in Scotland | С |
| have both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Manchester Metropolitan University TSA Registered Representative Examinations International Capital Markets Qualification (ICMO) including a pass in Futures, Options and other Derivative Products paper BA in Finance and Accounting MSc in International Accounting and Finance (where candidates hold modules as recommended by the firm) MSc in International Accounting and Finance (where candidates hold modules as recommended by the firm) MSc in International Accounting and Finance (where candidates hold modules as recommended by the firm) MSc in International Accounting and Finance (where candidates hold modules as recommended by the firm) MSc in Investment Analysis ACI Dealing Certificate ACI Dealing Certificate ACI Dealing Certificate ACI Dealing Certificate (ACI) ACI Dealing Certificate (ACI | | | b |
| Techniques of Investment papers BA (Hons) Financial Services, Planning and Management TSA Registered Representative Examinations International Capital Markets Qualification (ICMQ) Including a pass in Futures, Options and other Derivative Products paper BA in Finance and Accounting and Finance Office of Striling MSc in International Accounting and Finance (where candidates hold modules as recommended by the lim) MSc in International Accounting and Finance (where candidates hold modules as recommended by the lim) MSc in International Accounting and Finance (ACI Diploma ACI Dipl | | | |
| Management TSA Registered Representative Examinations TISA Registered Representative Examination TISA Registered Representative Examination TISA Registered Representative Examination TISA Registered Representative of Public Securities Examination TISA Representative of Public Securities Examination TISA Representative of Public Securities Examination TISA Registered Representative of Public Securities Examination TISA Registered Representative of Public Securities Institute Institute Of Institute Described Institute Of Lepters Described Institute Described Institute Of Lepters Desc | | | |
| Martiquement TSA Registered Representative Examinations The Securities Association C | BA (Hons) Financial Services, Planning and | Manahaatar Matronalitan University | |
| International Capital Markets Qualification (ICMQ) including a pass in Futures, Options and other Derivative Products paper BA in Finance and Accounting Whise in Finance BA in Finance Whise in Finance Whise in International Accounting and Finance Where candidates hold modules as recommended by the firm) MSc in International Accounting and Finance Whise in International Accounting and Finance Where candidates hold modules as recommended by the firm) MSc in Investment Analysis University of Stirling b Investment Analysis ACI ACI ACI Secondary Examination ACI Certificate ACI Analyst Association of Japan ACI Certificate Investment Analyst (CIIA) The Association of Certificate International Investment Professionals/ Institute of Investment Professionals/ Instit | Management | | а |
| Securities Institute, South African Institute of Financial Markets C | TSA Registered Representative Examinations | The Securities Association | С |
| Derivative Products paper BA in Finance University of Stirling b MSc in International Accounting and Finance University of Stirling b MSc in International Accounting and Finance University of Stirling b MSc in International Accounting and Finance University of Stirling b MSc in International Accounting and Finance (where candidates hold modules as recommended by the <i>limi</i>) MSc in Investment Analysis University of Stirling b ACI Dealing Certificate ACI d ACI Diploma ACI Deploma ACI | International Capital Markets Qualification (ICMQ) | | |
| BA in Finance and Accounting | including a pass in Futures, Options and other | Securities Institute/ South African Institute of Financial Markets | С |
| MSc in International Accounting and Finance (where candidates hold modules as recommended by the <i>firm</i>) MSc in Interstitute of Bankers in Ireland MSc in Interstitute of Public Securities Examination MSc in Interstitute Of Public Securities Examination Lorest Paper Securities Dealers Association University of Stirling b Diagrams of Cardidates hold modules as recommended by the <i>firm</i>) b Chacl Dealing Certificate ACI Dealing Certificate ACI Dealing Certificate ACI Analyst Association of Japan ACI Osciploma ACI Analyst Association of Japan ACI International Investment Analysts (CIIA) The Association of Certificate International Investment Analysts (ACIIA) Chartered Institute CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management 2 CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Institute) d Investment Plant Plant Management 2 CFA Society of UK (Formerly University of Reading (Formerly the Securities & Investment Institute) d Investment Plant Management Paper from the Associateship Investment Planting Paper – Paper 2 Institute of Bankers in Ireland Japanese Bankers Association Japanese Securities Dealers Association Japanese Securities Dealers Associat | | | |
| MSc in International Accounting and Finance (where candidates hold modules as recommended by the firm) b recommended by the firm) MSc in Investment Analysis University of Stirling b ACI Daiploma ACI Daiploma ACI Daiploma ACI Daiploma ACI Disploma ACI Daiploma ACI Daiploma ACI Disploma ADISPLOMA ACI Disploma | | | b |
| (where candidates hold modules as recommended by the firm) University of Stirling b MSc in Investment Analysis University of Stirling b ACI Dealing Certificate ACI d ACI Diploma ACI d Secondary Examination Analyst Association of Japan d Certified International Investment Analyst (CIIA) The Association of Certified International Investment Analysts (ACIIA) d Chartered Financial Analyst CFA Institute d Investment Practice paper of the Investment Management Certificate CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management) – Unit 5 d Investment Paper (pre-August 1994 syllabus) Chartered Institute of Bankers in Scotland d Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5 The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) d International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Ifs School of Finance (formerly the Chartered Institute of Bankers) d Investment Management Paper Paper 2 Institute of Bankers in Ireland d Representative of Public Securities Qualification – Class 1 Japanese Bankers Association d Representative of Public Securities Examination (pre April 1990) Jap | | University of Stirling | b |
| RSc in Investment Analysis University of Stirling b | | | |
| MSc in Investment Analysis | 1 \ | University of Stirling | b |
| ACI Dealing Certificate ACI ACI Diploma ACI ACI Diploma ACI ACI Diploma ACI ACI ACI Diploma ACI ACI ACI Diploma ACI ACI ACI Diploma ACI ACI ACI ACI ACI Diploma ACI | | | |
| ACI Diploma Secondary Examination Analyst (CIIA) Analyst Association of Japan Certified International Investment Analyst (CIIA) The Association of Certified International Investment Analysts (ACIIA) Chartered Financial Analyst CFA Institute CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management Certificate Investment Paper (pre-August 1994 syllabus) Chartered Institute Level 3 Certificate in Investment (Investment Management) — Unit 5 Diploma including passes in both the Australian Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Paper (pre-Paper 2 Investment Paper (Pre-Paper 2 Registered Representative of Public Securities Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification—Type 1 Japanese Securities Dealers Association ACI ACI Analyst Association Japan CFA Institute CFA Institute CFA Institute CFA Institute CFA Certified International Investment Professionals/ Institute of Investment Management Professionals/ Institute of Investment Management Professionals/ Institute of Securities Institute of Investment Professionals/ Institute of Investment Management Professionals/ Institute of Securities Institute of Investment Insti | · | | |
| Secondary Examination | | | |
| Certified International Investment Analyst (CIIA) The Association of Certified International Investment Analyst (CIIA) Chartered Financial Analyst CFA Institute CFA Institute CFA Institute CFA Institute CFA Institute CFA Institute CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management Certificate Management & Research Chartered Institute Level 3 Certificate in Investment Management Unit 5 Chartered Institute of Bankers in Scotland Chartered Institute for Securities Institute Level 3 Certificate in Investment Management Unit 5 The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) d Investment Management Unit 5 Chartered Institute for Australasia (Formerly the Securities Institute of Australia) d Investment Management Paper Investment Management Paper from the Associateship Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Institute of Bankers in Ireland Japanese Bankers Association Japanese Bankers Association Japanese Bankers Association Japanese Bankers Association Japanese Securities Dealers Association Japanese Securiti | | | |
| Chartered Financial AnalystCFA InstitutedInvestment Practice paper of the Investment Practice paper of the Investment Practice paper (pre-August 1994 syllabus)CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Paper (pre-August 1994 syllabus)dInvestment Paper (pre-August 1994 syllabus)Chartered Institute of Bankers in ScotlanddSecurities Institute Level 3 Certificate in Investments (Investments (Investments (Investments (Investment Management) – Unit 5The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)dDiploma including passes in both the Australian Futures Trading and Options papersFinancial Services Institute for Australasia (Formerly the Securities Institute of Australia)dInternational Fixed Income and Derivatives (IFID) Certificate ProgrammeICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)dInvestment Management Paper from the AssociateshipIfs School of Finance (formerly the Chartered Institute of Bankers)dInvestment Planning Paper – Paper 2Institute of Bankers in IrelanddRegistered Representative of Public SecuritiesJapanese Bankers AssociationdRepresentative of Public Securities Qualification – Class 1Japanese Bankers AssociationdRepresentative of Public Securities Examination (pre April 1990)Japanese Securities Dealers AssociationdRepresentative of Public Securities Cualification – Type 1Japanese Securities Dealers Associationd | | | |
| Investment Practice paper of the Investment Management Certificate | | | |
| Management Certificate Management & Research) Investment Paper (pre-August 1994 syllabus) Securities Institute Level 3 Certificate in Investments (Investments (Investment Management) – Unit 5 Diploma including passes in both the Australian Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Registered Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Type 1 Type 1 Management & Research) Chartered Institute of Bankers in Scotland Chartered Institute of Securities & Investment (Formerly the Securities & Investment (Formerly the Securities & Investment (Formerly the Securities of Public Securities & Investment (Formerly the Securities of Public Securities Examination (pre April 1990) Anagement & Research) Chartered Institute of Securities Dealers Association description of Public Securities Examination (pre April 1990) Appanese Securities Dealers Association description of Public Securities Qualification of Public Securities Dealers Association Japanese Securities Dealers Association description of Public Securities Qualification of Public Securities Dealers Association Japanese Securities Dealers Association description of Public Securities Qualification of Public Securities Qualification of Public Securities Dealers Association description of Public Securities Qualification of Public Securities Qualification of Public Securities Dealers Association Japanese Securities Dealers Association | • | | d |
| Management & Research) Investment Paper (pre-August 1994 syllabus) Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5 Diploma including passes in both the Australian Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Institute of Bankers in Ireland Institute of Bankers in Ireland Againstead Representative of Public Securities Qualification – Class 1 Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Type 1 Japanese Securities Dealers Association d Chartered Institute of Bankers in Ireland Investment Planning Paper – Paper 2 Institute of Bankers in Ireland Institute of Bankers in Ireland Investment Planning Paper – Paper 2 Again Securities Qualification – Class 1 Representative of Public Securities Qualification – Class 1 Representative of Public Securities Examination (pre April 1990) Again Securities Dealers Association Japanese Securities Dealers Association | | | Ч |
| Securities Institute Level 3 Certificate in Investments (Investment Management) – Unit 5 Diploma including passes in both the Australian Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Investment Management Paper and Institute of Bankers in Ireland Registered Representative of Public Securities Qualification – Class 1 Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Type 1 Japanese Securities Dealers Association The Chartered Institute for Securities & Investment (Formerly the Securities & Investment (Formerly the Securities & Investment Institute of Australia) d Investment Management Paper from the Association (Formerly ISMA Centre/ University of Reading) d Institute of Bankers in Ireland d Institute of Bankers in Ireland d Japanese Bankers Association d Japanese Bankers Association d Japanese Securities Dealers Association | | | |
| Investments (Investment Management) – Unit 5 Diploma including passes in both the Australian Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Registered Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Type 1 Investments (Investment Management) – Unit 5 Financial Services Institute for Australasia (Formerly the Securities Institute of Australia) d ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) d Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Institute of Bankers in Ireland d Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Appanese Securities Dealers Association Japanese Securities Dealers Association d d d d | | Chartered Institute of Bankers in Scotland | d |
| Futures Trading and Options papers International Fixed Income and Derivatives (IFID) Certificate Programme Investment Management Paper from the Associateship Investment Planning Paper – Paper 2 Institute of Bankers in Ireland Registered Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Japanese Bankers Association Japanese Securities Dealers Association Japanese Securities Dealers Association d Japanese Securities Dealers Association | | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | d |
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| Investment Planning Paper – Paper 2 Registered Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Class 1 Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Examination (pre April 1990) Appanese Securities Dealers Association Japanese Securities Dealers Association Japanese Securities Dealers Association Japanese Securities Dealers Association d | | Ifs School of Finance (formerly the Chartered Institute of Bankers) | d |
| Registered Representative of Public Securities Examination (pre April 1990)Japanese Bankers AssociationdRepresentative of Public Securities Qualification – Class 1Japanese Bankers AssociationdRepresentative of Public Securities Examination (pre April 1990)Japanese Securities Dealers AssociationdRepresentative of Public Securities Qualification – Type 1Japanese Securities Dealers Associationd | | Institute of Bankers in Ireland | d |
| Representative of Public Securities Qualification – Class 1 Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Japanese Securities Dealers Association Representative of Public Securities Qualification – Japanese Securities Dealers Association Type 1 Japanese Bankers Association Japanese Securities Dealers Association d | Registered Representative of Public Securities | Japanese Bankers Association | d |
| Representative of Public Securities Examination (pre April 1990) Representative of Public Securities Qualification – Type 1 Japanese Securities Dealers Association Japanese Securities Dealers Association d | Representative of Public Securities Qualification – | Japanese Bankers Association | d |
| Representative of Public Securities Qualification – Type 1 Japanese Securities Dealers Association d | Representative of Public Securities Examination | Japanese Securities Dealers Association | d |
| | Representative of Public Securities Qualification – | Japanese Securities Dealers Association | d |
| | Module B(ii), Securities and Portfolio | Law Society of England and Wales | d |

| Management | | |
|---|--|---|
| Series 3 – Futures Representative Examination | National Futures Association | d |
| Examination | NIBE SVV the Dutch Institute for Banking, Insurance & Stockbroking Industry | d |
| Examination | Norwegian Society of Financial Analysts | d |
| Singapore Exchange Futures Trading Test | Singapore Institute of Banking & Finance | d |
| Registered Representative Examination | Sydney Futures Exchange | d |
| Diploma – Regulation and Compliance Paper | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| Investment Administration Qualification – IMRO Regulatory Environment module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 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 |
| 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 Regulatory Paper) | 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 |
| 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 |

| 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 | а | |
| 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) | Chartered Institute of Bankers in Scotland | а |
|--|--|---|
| (New Adviser) Post 2010 examination standards | | a |
| 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 | а |
| 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 (where candidate holds 3 units including the Private Client Advice unit) | 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 | Chartered Insurance Institute | b |
| life and pensions modules) | | b |
| Certificate in Financial Planning | Chartered Insurance Institute | С |
| Financial Planning Certificate (No new | Chartered Insurance Institute | С |
| registrations after 17/12/2004) | | · · |
| Fellow (FLIA Dip) | Chartered Insurance Institute | b |
| Fellow or Associate 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 | | |
| FSSC Advanced Apprenticeship in Advising on | | С |
| Financial Products (Financial Advice Pathway) | | |
| Associate (where candidate has passed the | ifs School of Finance (Formerly the Chartered Institute of Bankers) | b |
| investment module) | | |
| Diploma for Financial Advisers (pre 2010 | ifs School of Finance (Formerly the Chartered Institute of Bankers) | b |
| examination standards) | | |
| 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) | С |
| Certificate for Financial Advisers (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | С |
| 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) | | |
| 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 |
| 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) | |
| have both the Stock Exchange Practice and | | |
| Techniques of Investment papers | | |
| BA (Hons) Financial Services, Planning and | Manchester Metropolitan University | а |
| Management | | |
| 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 | b |
| 2001) | | |
| BA in Finance | University of Stirling | b |
| BA in Finance and Accounting | University of Stirling | b |
| BA in Financial Services (1995 to 2001) | University of the West of England | b |
| MA in Financial Services (1995 to 2001) | University of the West of England | b |
| Post Graduate in Financial Services (1995 to | University of the West of England | b |
| 2001) | Chirology of the Woot of England | |

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

| Qualification table for: Advising on, and dealing in Securities (which are not stakeholder pension schemes or broker funds) – Activity number 12 in TC Appendix 1.1.1R | | | |
|--|---|-----|--|
| Qualification | Qualification Provider | Key | |
| Certified International Wealth Manager | Association of International Wealth Managers | а | |
| CIIA qualification (provided it is accompanied with appropriate qualifications modules covering regulation & ethics, investment principles & risk and personal taxation) | Association of Certified International Investment Analysts (ACIIA) | а | |
| MSC in Banking and International Finance (provided it is accompanied with appropriate qualifications modules covering regulation & ethics, investment principles & risk and personal taxation) | CASS Business School | а | |
| Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | а | |
| Chartered Financial Analyst plus Unit 1 of the Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) | CFA Institute/ CFA Society of UK | а | |
| Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet RDR specialist standards for securities | CFA Institute/ CFA Society of UK | а | |
| Chartered Financial Analyst plus Unit 1 of the Investment Management certificate (pre-2010 exam standards) | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b | |
| Chartered Financial Analyst Program Level 1 plus Investment Management Certificate (pre-2010 exam standards) | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b | |

| | | 1 - |
|---|--|-----|
| 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 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | а |
| including the securities module) | , | |
| Masters in Wealth Management (based on post 2010 examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | а |
| standards) | | |
| Masters in Wealth Management (based on pre 2010 examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| standards) | | |
| 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 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| (attained through competency interview and presentation only) | | |
| Diploma (where candidate holds 3 modules as recommended by | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| the firm) | | |
| Member of the Securities Institute (MSI Dip) (where candidate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| holds 3 modules as recommended by the firm) | | |
| 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) | С |
| 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 | а |

| 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 Dealers (NASD) | d |
| Certificate in Financial Markets | Financial Services Institute of Australasia (Formerly the Securities Institute of Australia) | d |
| Diploma of Financial Markets | Financial Services Institute of Australasia (Formerly the Securities Institute of Australia) | d |
| Examination | French Society of Investment Analysts | d |
| International Fixed Income and Derivatives (IFID) Certificate Programme | ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) | d |
| General Certificate Programme | ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) | d |
| Irish Registered Representative Examination | Irish Stock Exchange/ Dublin City University | d |
| Promotore Finanziario Examination | Italian Exchange | d |
| Registered Representative of Public Securities Examination (pre April 1990) | Japanese Bankers Association | d |
| Representative of Public Securities Qualification – Class 1 | Japanese Bankers Association | d |
| Registered Representative of Public Securities Examination (pre April 1990) | Japanese Securities Dealers Association | d |
| Representative of Public Securities Qualification – Type 1 | Japanese Securities Dealers Association | d |
| Membership Examinations | Johannesburg Stock Exchange | d |
| Elementary, Intermediate and International Capital Markets Courses | Korea Securities Training | d |
| Trainee Dealers Representative Examination | Kuala Lumpur Stock Exchange | d |
| 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 | Qualification Provider | Key |
|--|---|-----|
| Certified International Wealth Manager | Association of International Wealth Managers | а |
| MSC in Banking and International Finance (provided it is accompanied with appropriate qualifications modules covering regulation & ethics, investment principles & risk and personal taxation) | CASS Business School | 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 certificate) (post-2010 exam standards) | CFA Institute/ CFA Society of UK | а |
| nvestment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet specialist standards for advising on derivatives | CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | а |
| Fellow by examination | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | b |
| nvestment Management Certificate | CFA Society of UK | С |
| Associateship – must include a pass in the investment Paper | Chartered Institute of Bankers in Scotland | b |
| nvestment Advice Diploma (where candidate nolds 3 units including the Derivatives unit) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | а |
| Certificate in Private Client Investment Advice and Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| Certificate in Private Client Investment Advice and Management (attained through a CISI | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |

| competency interview and presentation only) | The Objective Head's to the Occ. 20 at 0 to extract (Ferral of the Occ. 20 at 0 to extract bed's to) | |
|--|---|----------|
| 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) | а |
| post 2010 examination standards) | | |
| Diploma (where candidate holds 3 modules | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | b |
| as recommended by the firm) | | |
| Certificate in Derivatives | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Certificate in Financial Derivatives | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Certificate in Investment Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Level 6 Diploma in Wealth Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Certificate in Securities and Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Derivatives | | |
| Securities Institute Level 3 Certificate in | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Investments (Derivatives) | | |
| 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) | С |
| Examination | The chartered methods of investment (Fermeny the ecounties of investment methods) | |
| SFA Securities and Financial Derivatives | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | С |
| Representative Examination | The chartered methods of investment (i cimeny the occurries a investment methods) | |
| Financial Derivatives paper of Diploma | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | d |
| SFA Securities Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | C |
| plus Financial Derivatives Module | The oriantered institute for occurries & investment (i orinerly the occurries & investment institute) | |
| Financial Futures and Options paper of the | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | а |
| Diploma | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | a |
| Advanced Financial Planning Certificate | Chartered Insurance Institute | b |
| | | |
| G70 Paper of Advanced Financial Planning | Chartered Insurance Institute | С |
| Certificate | ifa Cahaal of Finance (Formark), the Chartered Institute of Parliage) | h |
| Associateship – (must include a pass in the | ifs School of Finance (Formerly the Chartered Institute of Bankers) | b |
| Investment Paper) | if Cabaci of Finance (Formary), the Chartered Institute of Dankers | L |
| Associateship – (must include a pass in the | ifs School of Finance (Formerly the Chartered Institute of Bankers) | b |
| Investment Management Paper) | Landan Otali Frakansa (arasada narribantha The Oberta a Urati (a fa Ora 20 a Ora 20 | - |
| London Stock Exchange Full Membership | London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the | b |
| Exams – where candidates holds three or | Securities & Investment Institute) | |
| four papers or have both the Stock Exchange | | |
| Practice and Techniques of Investment | | |
| papers | | |

| BA (Hons) Financial Services, Planning and Management | Manchester Metropolitan University | а |
|---|--|---|
| TSA Registered Representative Examination | The Securities Association | С |
| International Capital Markets Qualification (ICMQ) including pass in Futures, Options and other Derivative Products | Securities Institute/ South African Institute of Financial Markets | d |
| 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 Qualifications – Type 1 | Japanese Securities Dealers Association | d |
| 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 – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| IMRO Regulatory Environment Module | | |
| Investment Administration Qualification – SFA | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| Regulatory Environment Module | | |
| Investment Administration Qualification – Unit | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| 2 FSA Regulatory Environment (Formerly the | | |
| Investment Administration Qualification – | | |
| Regulatory Environment Module) | | |
| Investment Operations Certificate – FSA | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| Financial Regulation Module | | |
| Securities & Investment Institute – Unit 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | е |
| Financial Regulation (Formerly the Securities | | |
| Institute Regulatory Paper) | | |

| Qualification table for : Advising on Long-term care insurance contracts – Activity number 7 in TC Appendix 1.1.1R | | |
|--|---|-----|
| Qualification | 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 table for : Advising on investments in the course of corporate finance business – Activity number 8 in TC Appendix 1.1.1R | | |
|---|---|-----|
| Qualification | Body | Key |
| Fellow or Associate by examination | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 1 |
| | Management & Research) | |
| Investment Management Certificate | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 1 |
| | Management & Research) | |

| Certificate in Corporate Finance | 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 | | |
| Certificate in Securities | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Certificate in Securities and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Financial Derivatives | | |
| Diploma (must include a pass in | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Regulation and Compliance Paper) | | |
| SFA Corporate Finance | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Representative Examination | | |
| SFA Securities Representative | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Examination | | |
| SFA Securities and Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Derivatives Representative | | |
| Examination | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Certificate in Investments | | |
| (Investment Management) | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Certificate in Investments (Securities | | |
| & Financial Derivatives) | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Certificate in Investments | | |
| (Securities) | | |
| G70 paper of Advanced Financial | Chartered Insurance Institute | 1 |
| Planning Certificate | | |
| Fellow or Associate | Institute of Chartered Accountants in England & Wales | 1 |
| Fellow or Associate | Institute of Chartered Accountants in Ireland | 1 |
| Member | Institute of Chartered Accountants in Scotland | 1 |
| Member or Affiliate | Association of Chartered Certified Accountants | 1 |
| Stock Exchange Registered | 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 – Regulation and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Compliance Paper | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – IMRO Regulatory | | |
| Environment Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – SFA Regulatory | | |
| Environment Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – Unit 2 FSA | | |
| Regulatory Environment – (Formerly | | |
| the Investment Administration | | |
| Qualification – Regulatory | | |
| Environment Module) | The Chartered lastitute for Convities 9 Investment (Formary), the Convities 9 Investment Institute) | 2 |
| Investment Operations Certificate – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| FSA Financial Regulation Module | The Chartered lastitute for Convities 9 Investment (Formary), the Convities 9 Investment Institute) | 2 |
| Principles of Financial Regulation | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| SFA Registered Persons Examination – Section 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| | | |
| (Regulation) Securities & Investment Institute – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Unit 1 Financial Regulation – | The Ghartered institute for Securities a investment (Formerly the Securities a investment institute) | 3 |
| (Formerly the Securities Institute | | |
| Regulatory Paper) | | |
| inegulatory raper) | | |

| 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 | Chartered Insurance Institute | 1 |
| pensions-related subjects as | | |
| confirmed by the examining body | | |
| G60 paper of Advanced Financial | Chartered Insurance Institute | 1 |
| Planning Certificate | | |
| Unit AF3 of the Advanced Diploma | Chartered Insurance Institute | 1 |
| in Financial Planning | | |
| Fellow or Associate | Faculty or Institute of Actuaries | 1 |
| Pensions paper of Professional | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 |
| Investment Certificate | | |
| Fellow or Associate by examination | Pensions Management Institute | 1 |
| Fellow or Associate by examination | Pensions Management Institute | 1 |

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

| CISI competency interview and presentation only) | | |
|---|---|---|
| procentation only) | | |
| Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Investment Advice Diploma (where candidates hold technical modules as recommended by the <i>firm</i>) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Masters in Wealth Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Certificate in Investment Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Level 6 Diploma in Wealth Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Investment Advice Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| Securities Institute Level 3 Certificate in Investments (Investment Management) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| London Stock Exchange Full Membership Exams – where candidates hold three or four papers or holds both the Stock Exchange Practice and Technique of Investment Papers | London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute) | 1 |
| Advanced Financial Planning Certificate (must include a pass in G70 paper) | Chartered Insurance Institute | 1 |
| Diploma in Financial Planning (must include a pass in J10: Discretionary Investment Management paper) | Chartered Insurance Institute (CII) | 1 |
| Diploma in Regulated Financial Planning plus J10: Discretionary Investment Management paper) | Chartered Insurance Institute (CII) | 1 |
| Associate – achieved by examination passed before 1 December 2001 (must include a pass in Subject 301 – Investment and Asset Management (syllabus in force from 1998) | Faculty or Institute of Actuaries | 1 |
| Fellow – achieved by examination (must include a pass in subjects 301 and 401 Investment and Asset Management (syllabus in force from 1998) | Faculty or Institute of Actuaries | 1 |

| Falls as Associated as a sector to | Frank and of the Anti-State | T 4 |
|---|---|-----|
| Fellow or Associate by examination | Faculty or Institute of Actuaries | 1 |
| (must include Investment Paper E | | |
| (Syllabus in force until 1998)) | | |
| MSc in International Accounting | University of Stirling | 1 |
| (where candidates hold modules | | |
| as recommended by the firm) | | |
| MSc in Investment Analysis | University of Stirling | 1 |
| Certified International Investment | The Association of Certified International Investment Analysts (ACIIA) | 2 |
| Analyst (CIIA) | | |
| Chartered Financial Analyst (Level | CFA Institute | 2 |
| 1) | | |
| Investment Management Asset | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 2 |
| Allocation Qualification | Management & Research) | |
| Investment Practice Version of | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 2 |
| Investment Management | Management & Research) | _ |
| Certificate (both pre and post 2010 | Management a resourcity | |
| reformed Appropriate Exam | | |
| standards versions) | | |
| Certificate in Investment | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 2 |
| | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | 2 |
| Management – paper 2 Securities Institute Level 3 | The Chartered Institute for Cognities 9 Investment (Formark) the Cognities 9 Investment Institute) | 2 |
| | 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) | | |
| | Courth African Institute of Financial Markets | |
| Ordinary and Senior Certificates | South African Institute of Financial Markets | 2 |
| Dual degree Executive MBA in | Swiss Finance Institute | 2 |
| Asset and Wealth Management | | |
| Unit 1 – UK Regulation & Markets | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 3 |
| | Management & Research) | |
| Unit 1 – Financial Regulation | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Unit 6 – Principles of Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Cint o Timorpios of Financial | The Charles a mediate for Cooding of a myodinent (1 dimeny the Cooding of a myodinent mediate) | |

| Regulation | | |
|-------------------------------------|--|---|
| Diploma – Regulation and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Compliance Paper | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – IMRO Regulatory | | |
| Environment Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – SFA Regulatory | | |
| Environment Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Qualification – Unit 2 FSA | | |
| Regulatory Environment – | | |
| (Formerly the Investment | | |
| Administration Qualification – | | |
| Regulatory Environment Module) | | |
| Investment Operations Certificate – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| FSA Financial Regulation Module | | |
| SFA Registered Persons | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Examination – Section 1 | | |
| (Regulation) | | |

| Qualification table for: Overseeing on a day to day basis operating a collective investment scheme or undertaking activities of a trustee or depositary of a | | |
|--|--|-----|
| collective investment scheme – Activity number 15 in TC Appendix 1.1.1R | | |
| Qualification | Qualification Provider | Key |
| Member | Association of Accounting Technicians | 4 |
| Fellow or Associate | Association of Chartered Certified Accountants | 4 |
| Fellow or Associate | Association of Corporate Treasurers | 4 |
| Fellow or Associate | Chartered Institute of Bankers in Ireland | 4 |
| Certificate in Investment Planning – Paper 1 | Chartered Institute of Bankers in Scotland | 4 |
| Member or Associate | Chartered Institute of Bankers in Scotland | 4 |
| Fellow or Associate | Chartered Institute of Management Accountants | 4 |
| Fellow or Associate | Chartered Institute of Public Finance and Accountancy | 4 |
| Fellow or Associate by examination | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | 4 |
| Investment Management Certificate | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) | 4 |
| Investment Administration Qualification – Introduction to Securities and Investment Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Investment Operations Certificate – Introduction to Securities and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |

| 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 | TI OL 4 11 01 4 6 0 11 0 11 0 11 0 11 0 11 0 | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | | |
| (Derivatives) – Unit 3 | The Chartered Institute for Congrition 9 Investment (Forms which he Congrition 9 Investment Institute) | 4 |
| Securities Institute Level 3 Certificate in Investments | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| (Investment Management) | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The Charleted institute for Securities a investment (Formerly the Securities a investment institute) | 4 |
| (Securities & Financial Derivatives) | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The Charles a module for Coodinate a myodine it officing the Coodinate a myodine it module) | |
| (Securities & Financial Derivatives) | | |
| – Unit 4 | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | | |
| (Securities) – Unit 2 | | |
| SFA Corporate Finance | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Representative Examination | | |
| SFA Futures and Options | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Representative Examination | | |
| SFA Securities Representative | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Examination | | |
| SFA Securities and Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Derivatives Representative | | |
| Examination | | |

| Stock Exchange Registered | London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the | 4 |
|---------------------------------------|--|---|
| Representative Examination | Securities & Investment Institute) | |
| Fellow or Associate | Chartered Insurance Institute | 4 |
| Financial Planning Certificate – | Chartered Insurance Institute | 4 |
| Paper 1 | | |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Paper 1 (Pre 31/10/2004) | | |
| Fellow or Associate | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Fellow or Associate | Institute of Chartered Accountants in England & Wales | 4 |
| Fellow or Associate | Institute of Chartered Accountants in Ireland | 4 |
| Member | Institute of Chartered Accountants in Scotland | 4 |
| Certificate in Collective Investment | Institute of Chartered Secretaries & Administrators | 4 |
| Scheme Administration | | |
| Certificate in Company Secretarial | Institute of Chartered Secretaries & Administrators | 4 |
| Practice and Share Registration | | |
| Practice (including the Regulatory | | |
| module within the examination) | | |
| Fellow or Associate | Institute of Chartered Secretaries & Administrators | 4 |
| Solicitor | Law Society of England & Wales/ Law Society of Northern Ireland | 4 |
| TSA Registered Representative | The Securities Association | 4 |
| Examination | | |
| Fellow or Associate | Pensions Management Institute | 4 |
| Investment Management | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| Certificate | Management & Research) | |
| Investment Regulation and | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| Practice Paper of the Associate | Management & Research) | |
| Examination | | |
| UK Regulation and Markets | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| version of the Investment | Management & Research) | |
| Management Certificate | | |
| Certificate in Investment Planning | Chartered Institute of Bankers in Scotland | 5 |
| – Paper 1 | | _ |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Qualification – SFA Regulatory | | |
| Environment | The Objection of Institute for Committee Objection and (Forms only the Committee Objection and Institute) | - |
| Unit 6 – Principles of Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Regulation | The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute) | 5 |
| Certificate in Investment | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | ٥ |
| Management Diploma Clobal Operations | The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute) | |
| Diploma – Global Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Management Module | The Chartered Institute for Securities & Investment (Formarky the Securities & Investment Institute) | 5 |
| Diploma – International Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Management Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Diploma Operations Management Module | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | ٥ |
| Module | | |

| Diploma Regulation and Compliance Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
|--|---|---|
| Investment Administration Qualification – IMRO Regulatory Environment Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Administration Qualification – FSA Regulatory Environment Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Operations Certificate – FSA Financial Regulation Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Advice Certificate Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Securities Institute Level 3 Certificate in Investments (Investment Management) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Securities & Investment Institute – Unit 1 Financial Regulation – (Formerly the Securities Institute Regulatory Paper) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Futures and Options Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Securities and Financial Derivatives Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Registered Persons Examination – Section 1 (Regulation) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Stock Exchange Registered Representative Examination | London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute) | 5 |
| Financial Planning Certificate – Paper 1 | Chartered Insurance Institute | 5 |
| Certificate for Financial Advisers Paper 1 (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Certificate for Financial Advisers – Paper 1 | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Certificate in Collective Investment Scheme Administration | Institute of Chartered Secretaries & Administrators | 5 |
| Certificate in Company Secretarial Practice and Share Registration Practice (including the Regulatory module within the examination) | Institute of Chartered Secretaries & Administrators | 5 |
| TSA Registered Representative Examination | The Securities Association | 5 |
| ACI Operations Certificate when combined with Chartered Institute | ACI The Financial Markets Association | 4 |

| 10 11 11 11 110 | | |
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| of Securities and Investment (CISI) | | |
| Introduction to Securities & | | |
| Investments and one of the | | |
| Regulatory units of the Investment | | |
| Operations Certificate (IOC) | | |
| ACI Dealing Certificate when | ACI The Financial Markets Association | 4 |
| combined with Chartered Institute | | |
| of Securities & Investments (CISI) | | |
| Introduction to Securities & | | |
| Investments and one of the | | |
| Regulatory units of the Operations | | |
| Certificate (IOC) | | |
| Diploma – Global Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Management Module | (,, | |
| Diploma International Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Management Module | the chances in contain the contained a minor than the contained at minor the contained at minor than the contained at minor the contained a | |
| Diploma Operations Management | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Module | The chartered methate for coodinate a mirodinient (i chinery the coodinate a mirodinient methate) | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Collective | The chartered method of decornies a investment (i officing the decornies a investment method) | Ŭ |
| Investment Schemes | | |
| Administration Module | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| - Collective Investment Schemes | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | 0 |
| Administration Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| | The Charteled institute for Securities & investment (Formerly the Securities & investment institute) | 0 |
| Qualification – Asset Servicing Module | | |
| | The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute) | 6 |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| - Asset Servicing Module | The Chartered lights to factor of the Convities of the control of the Convities of the control o | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Basics of CREST | | |
| Module | The Chartered lights to factor of the Convities of the control of the Convities of the control o | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Bond Settlement | | |
| Module | The Objective Health to Constitute Objective (Francisco Health Objective Objective (Health Objective Objec | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification CREST Settlement | | |
| Module | TI OL 1 11 11 11 1 1 1 1 1 1 1 1 1 1 1 1 1 | |
| 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 | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Exchange –Traded | | |

| Derivative Administration Module | | |
|--|--|---|
| Investment Operations Certificate – Exchange –Traded Derivative Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification Global Custody Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification – Global Settlement Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification – ISA Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Operations Certificate – ISA Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification – ISA and PEP Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification OEIC Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification – Operational Risk Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Operations Certificate – Operational Risk Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration 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 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |

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

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

| Certificate in Securities and | 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 Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Investment Advice Certificate – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Membership of the Securities Institute by examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Securities Institute Level 3 Certificate in Investments (Investment Management) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| SFA Corporate Finance Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| SFA Futures and Options Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| SFA Securities and Financial Derivatives Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| SFA Securities Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Stock Exchange Registered | 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 – Paper 1 | Chartered Insurance Institute | 4 |
| Fellow or Associate | Faculty or Institute of Actuaries | 4 |
| Certificate for Financial Advisers Paper 1 (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Fellow or Associate | † | 1 |
| | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 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 | mountaine of entantine deficients a familiariation | , |
| Certificate in Company Secretarial | Institute of Chartered Secretaries & Administrators | 4 |
| Practice and Share Registration | | |
| Practice (including Regulatory | | |
| module within the examination) | | |
| Fellow or Associate | Institute of Chartered Secretaries & Administrators | 4 |
| Fellow or Associate | Pensions Management Institute | 4 |
| TSA Registered Representative | The Securities Association | 4 |
| Examination | | |
| Investment Management | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| Certificate | Management & Research) | |
| Investment Regulation and | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| Practice Paper of the Associate | Management & Research) | |
| Examination | | |
| UK Regulation and Markets | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 |
| version of the Investment | Management & Research) | |
| Management Certificate | | |
| Certificate in Investment Planning | Chartered Institute of Bankers in Scotland | 5 |
| - Paper 1 | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Qualification – SFA Regulatory | | |
| 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 | | |
| 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 – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
|--|---|---|
| Securities Institute Level 3 Certificate in Investments (Investment Management) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Securities & Investment Institute – Unit 1 Financial Regulation (Formerly the Securities Institute Regulatory Paper) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Futures and Options Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Registered Persons Examination – Section 1 (Regulation) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Securities Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Securities and Financial Derivatives Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Stock Exchange Registered Representative Examination | London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute) | 5 |
| Financial Planning Certificate Paper 1 | Chartered Insurance Institute | 5 |
| Certificate for Financial Advisers – Paper 1 pre 31/10/2004 | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Certificate in Collective Investment Scheme Administration | Institute of Chartered Secretaries & Administrators | 5 |
| Certificate in Company Secretarial Practice and Share Registration Practice (including the Regulatory module within the examination) | Institute of Chartered Secretaries & Administrators | 5 |
| TSA Registered Representative Examinations | The Securities Association | 5 |
| Investment Administration Qualification – Global Securities Operations Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Operations Certificate – Global Securities Operation Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Administration Qualification – Private Client Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Investment Operations Certificate – Private Client Administration Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Diploma International Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |

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

| Investment Coherens | | |
|--|--|-----|
| Investment Schemes Administration Module | | |
| | The Charters of Institute for Countries a large state and (Formandusth a Countries a large state and Institute) | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Collective Investment Schemes | | |
| Administration Module | TI OI + 11 (1) + (O - 1) O - 1 O | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification OEIC Administration | | |
| Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Operational Risk | | |
| Module | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Operational Risk Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – OTC Derivatives | | |
| Administration Module | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| OTC Derivatives Administration | | |
| Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification PEP Administration | | |
| Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification Portfolio Performance | , | |
| Measurement Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification Unit Trust | , | |
| Administration Module | | |
| Operations Certificate Programme | ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) | 6 |
| (OCP) | The second containing (containing containing) | |
| Certificate in Collective Investment | Institute of Chartered Secretaries & Administrators | 6 |
| Scheme Administration | | |
| Certificate in Company Secretarial | Institute of Chartered Secretaries & Administrators | 6 |
| Practice and Share Registration | | |
| Practice (including the Regulatory | | |
| module within the examination) | | |
| Investment Administration | Investment Management Association | 6 |
| Management Award | The countries of the co | l S |
| In-house module (only where the | | 6 |
| firm can demonstrate that none of | | l S |
| the listed examinations are | | |
| appropriate) | | |
| Investment Administration | Chartered Institute of Securities & Investments (CISI) | 6 |
| Qualification (IAQ) – ISA and PEP | Onantorea matitate of decanties a investments (Offi) | 0 |
| Administration Module 6 | | |
| Autilitiotiation Module 6 | | |

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

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

Activity number 17 in TC Appendix 1.1.1R

| Qualification | Qualification Provider | Key |
|--|---|-----|
| Member | Association of Accounting Technicians | 4 |
| Fellow or Associate | Association of Chartered Certified Accountants | 4 |
| Fellow or Associate | Association of Corporate Treasurers | 4 |
| Fellow or Associate by | 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 | | |

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|---|--|-----|
| Investment Advice Certificate – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Member of the Securities Institute by examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The original module of occurrence a invocation (i originally the occurrence a invocation module) | ' |
| (Derivatives) – Unit 3 | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The Chartered institute for Securities & investment (i officing the Securities & investment institute) | 7 |
| (Investment Management) | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The Chartered institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| | | |
| (Securities) – Unit 2 | The Obstant Heaffe to for Occ. Store O. In restrict of the Occ. Store O. In restrict to St. (1) | + . |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | | |
| (Securities & Financial Derivatives) | | |
| - Unit 4 | The Objection of Institute for Occasition 9 Insurator and (Formand III - Occasition 9 Insurator and Institute 1 | 1 |
| 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 Accountants in Octobard Institute of Chartered Secretaries & Administrators | 4 |
| Certificate in Collective investifient | Institute of Chartelet Occidates a Autilinistrators | 7 |

| Scheme Administration | | |
|-------------------------------------|---|---|
| Certificate in Company Secretarial | Institute of Chartered Secretaries & Administrators | 4 |
| Practice and Share Registration | Institute of Chartered Secretaries & Administrators | - |
| (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 | The Securities Association | 4 |
| ACI Operations Certificate when | ACI The Financial Markets Association | 4 |
| combined with Chartered Institute | ACI THE I HAHCIAI WAINERS ASSOCIATION | 4 |
| of Securities and Investment (CISI) | | |
| Introduction to Securities & | | |
| Investments and one of the | | |
| Regulatory units of the Investment | | |
| Operations Certificate (IOC) | | |
| ACI Dealing Certificate when | ACI The Financial Markets Association | 4 |
| combined with Chartered Institute | ACI THE I Hallola Markets Association | 4 |
| of Securities & Investments (CISI) | | |
| Introduction to Securities & | | |
| Investments and one of the | | |
| Regulatory units of the Investment | | |
| Operations Certificate (IOC) | | |
| 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 | management a resourcity | |
| 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 | management a recourse, | |
| 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 | (2 | |
| Certificate in Investment | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Management | (2 | |
| Diploma – Global Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Management Module | (2 man) | |
| Managoriorit Module | I | |

| Diploma – International Operations Management Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
|--|---|------|
| Diploma – Operations Management Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Diploma – Regulation and Compliance Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Administration | 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 – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| 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 Registered Persons Examination – Section 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| (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 | Chartered Incure as Institute | |
| Financial Planning Certificate – Paper 1 | Chartered Insurance Institute | 5 |
| 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 | IONAA Control I Initia maita at Dooding (Forms only IONA) Control I I I I I I I I I I I I I I I I I I I | |
| Operations Certificate Programme (OCP) | ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading) | 6 |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Paper 1 (Pre 31/10/2004) | Institute of Chartered Secretaries & Administrators | |
| Certificate in Collective Investment | Institute of Chartered Secretaries & Administrators | 5 |

| Scheme Administration | | |
|--|--|---|
| Certificate in Company Secretarial | Institute of Chartered Secretaries & Administrators | 5 |
| Practice and Share Registration | mountaine de contaction de contaction de l'administration | |
| (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 | | |
| Operation Module | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Global Securities Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – ISA and CTF | | |
| Administration module | | |
| Diploma – Global Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Management Module | | |
| Diploma – International Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Management Module | | |
| Diploma – Operations | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Management Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Basics of CREST | | |
| module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Bond Settlement | | |
| Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Derivatives | | |
| Operations Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Exchange-Traded | | |
| Derivative Administration Module | | |
| Investment 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 | | |

| Module | | |
|---|--|-----|
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Global Settlement | The Shartered institute for Securities & investment if officing the Securities & investment institute) | |
| Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – ISA Administration | The original institute for occurring a investment (i ornion) the occurring a investment institute) | |
| Module | | |
| Investment Operations Module – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| ISA Administration Module | The Charleted institute for Securities & investment (i officing the Securities & investment institute) | O . |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – OEIC | The Charleted institute for Securities & investment (i officing the Securities & investment institute) | O . |
| Administration Module | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | O |
| Qualification – Operational Risk | | |
| Module Investment Operations Cartificate | 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) | 0 |
| - Operational Risk Module | The Chartered Institute for Congrition 9 Investment /Formarks the Conscrition 9 Investment Institute | 6 |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification - PEP Administration | | |
| Module | The Objective Health to the One office Objective of Face of the One office Objective (Health to) | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Private Client | | |
| Administration Module | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| 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 Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |

| Diploma – Operations Management Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
|--|--|---|
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| Qualification – Introduction to | | |
| Securities and Investment Module | T. O | |
| 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 | The chartered medicale for ecounties a invocation (i clinion) and ecounties a invocation medicale) | ' |
| (Derivatives) – Unit 3 | | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| | | |
| (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 | The original institute for occurring a investment (i officiny the occurring a investment institute) | 7 |
| SFA Securities Representative | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Examination | The Charleted institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| | The Observational leastify to face Operation 9 has restored to Constitute 9 has restored to the Arms of the Arms o | 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) | |
| 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 | Tabaity of moditate of Motivation | 4 |
| Retail Financial Services (Long | | T |
| Metall I mandial Services (Lung | | 1 |

| | | 1 |
|--|--|---|
| Term Insurance Pathway including CF1) | | |
| Certificate for Financial Advisers – Paper 1 (Post 1/11/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Fellow or Associate | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 |
| Fellow or Associate | Institute of Chartered Accountants in England & Wales | 4 |
| Fellow or Associate | Institute of Chartered Accountants in Ireland | 4 |
| Member | Institute of Chartered Accountants in Scotland | 4 |
| Certificate in Collective Investment Scheme Administration | Institute of Chartered Secretaries & Administrators | 4 |
| Fellow or Associate | Institute of Chartered Secretaries & Administrators | 4 |
| Solicitor | Law Society of England and Wales/ Law Society of Scotland/ Law Society of Northern Ireland | 4 |
| Fellow or Associate | Pensions Management Institute | 4 |
| TSA Registered Representative Examinations | The Securities Association | 4 |
| Certificate in Investment Planning – Paper 1 | Chartered Institute of Bankers in Scotland | 5 |
| Diploma – Regulation and Compliance Paper | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Administration Qualification – IMRO Regulatory Environment Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Administration Qualification – SFA Regulatory Environment Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Administration Qualification – Unit 2 FSA Regulatory Environment – (Formerly the Investment Administration Qualification – Regulatory Environment Module) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Operations Certificate – FSA Financial Regulation Module | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Investment Advice Certificate – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Principles of Financial Regulation | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| Securities & Investment Institute – Unit 1 Financial Regulation – (Formerly the Securities Institute Regulatory Paper) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |
| SFA Registered Persons Examination – Section 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 |

| (Regulation) | | |
|--------------------------------------|---|---|
| CF1 – UK financial services, | Chartered Insurance Institute | 5 |
| regulation and ethics | | |
| Financial Planning Certificate – | Chartered Insurance Institute | 5 |
| Paper 1 | | |
| FSSC Advanced Apprenticeship in | | 5 |
| Retail Financial Services (Long | | |
| Term Insurance Pathway including | | |
| CF1) | | |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Paper 1 (Post 1/11/2004) | | |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 5 |
| Paper 1 (Pre 31/10/2004) | | |
| Certificate in Collective Investment | Institute of Chartered Secretaries & Administrators | 5 |
| Scheme Administration | | |
| UK Regulation and Markets | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 6 |
| version of Investment Management | Management & Research) | |
| Certificate | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Qualification – Life Policy | | |
| Administration Module | | |
| Investment Advice Certificate – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 6 |
| Paper 2 | | |
| Certificate of Insurance Practice | Chartered Insurance Institute | 6 |
| (life or pensions route) | | |
| Fellow or Associate (life and | Chartered Insurance Institute | 6 |
| pensions route only) | | |
| Financial Planning Certificate – | Chartered Insurance Institute | 6 |
| Paper 2 | | |
| Life assurance paper (735) from | Chartered Insurance Institute | 6 |
| the Associateship | | |
| Pensions law, taxation and | Chartered Insurance Institute | 6 |
| administration paper (740) from the | | |
| Associateship | | |
| FA1 – Life office administration | Chartered Insurance Institute | 6 |
| FA2 – Pensions administration | Chartered Insurance Institute | 6 |
| paper | | |
| Fellow or Associate | Faculty or Institute of Actuaries | 6 |
| FSSC Advanced Apprenticeship in | | 6 |
| Retail Financial Services (Long | | |
| Term Insurance Pathway including | | |
| CF1 and either FA1 or FA2) | | |
| 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

| 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 | | |
| 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) | T 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | | |
| (Securities) – Unit 2 | The Obstant Health to the Occ. 25 or Obstant (Ferral day Occ. 25 or Obstant Health to) | |
| Securities Institute Level 3 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Certificate in Investments | | |
| (Securities & Financial Derivatives) | | |
| Unit 4SFA Corporate Finance | The Chartered Institute for Congrition & Investment /Formarky the Congrition & Investment Institute | 4 |
| • | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| Representative Examination | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 4 |
| SFA Futures and Options Representative Examination | The Chartered institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| SFA Securities and Financial | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 1 |
| | 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 | The Chartered institute for Securities & investment (Formerly the Securities & investment institute) | 4 |
| CF1 – UK financial services, | Chartered Insurance Institute | 4 |
| regulation and ethics | Charteled 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) | 4 | | |
| Fellow or Associate | Chartered Insurance Institute | 4 | | |
| Financial Planning Certificate – | Chartered Insurance Institute | 4 | | |
| Paper 1 | Chartered insurance institute | 7 | | |
| 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) | and defined in affective the chartered mattace of Barners) | 7 | | |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 4 | | |
| Paper 1 (Pre 31/10/2004) | and control of Finance (Formerly the chartered motitate of Barmerly) | 7 | | |
| 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 | motitate of chartered decretaries a Naministrators | 7 | | |
| 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 | The Goodhalo Accordation | ' | | |
| UK Regulation and Markets | CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment | 5 | | |
| version of the Investment | Management & Research) | | | |
| Management Certificate | | | | |
| Certificate in Investment Planning | Chartered Institute of Bankers in Scotland | 5 | | |
| – Paper 1 | | | | |
| Diploma – Regulation and | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| Compliance module | | | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| Qualification – IMRO Regulatory | | | | |
| Environment Module | | | | |
| Investment Administration | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| Qualification – Unit 2 FSA | | | | |
| Regulatory Environment – | | | | |
| (Formerly the Investment | | | | |
| Administration Qualification – | | | | |
| Regulatory Environment Module) | | <u> </u> | | |
| Investment Operations Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| - FSA Financial Regulation | | | | |
| Module | The Objective Head to the Occ. 20 to Objective A (France Left Occ. | <u>-</u> | | |
| Investment Advice Certificate | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| Paper 1 | The Objective Head to the Occ. When Objective of Francis II all Co. 2011 Objective of Parks | 5 | | |
| Principles of Financial Regulation | | | | |
| Securities & Investment Institute – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 5 | | |
| Unit 1 Financial Regulation – | | | | |

| /Fames and the a Campatities and additions | | |
|--|--|---|
| (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 Ghaltered institute for Securities & investment (Formerly the Securities & investment institute) | 3 |
| (Regulation) | | |
| CF1 – UK financial services, | Chartered Insurance Institute | 5 |
| regulation and ethics | Onartered modification modificate | |
| 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 | | |
| Pensions law, taxation and | Chartered Insurance Institute | 6 |
| administration paper (740) from the | | |
| Associateship | | |
| Associate or Fellow | Faculty or Institute of Actuaries | 6 |
| Certificate for Financial Advisers | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 6 |
| Paper 2 (Pre 31/10/2004) | | |
| Initial Test of Competence | Institute of Chartered Accountants in England & Wales | 6 |
| Initial Test of Competence | Institute of Chartered Accountants in Ireland | 6 |
| Initial Test of Competence | Institute of Chartered Accountants in Scotland | 6 |
| Module B(i) Retail Branded/ | Law Society of England & Wales | 6 |
| Packaged Products | Descione Management Institute | |
| Fellow or Associate (by | Pensions Management Institute | 6 |
| examination) | | |
| In house module (only where the | | 6 |
| firm can demonstrate that none of | | |
| the listed examinations is | | |
| appropriate) | | |

| Qualification | Kov | |
|---|--|-----|
| Mortgage Advice and Practice | Qualification Provider Chartered Institute of Bankers in Scotland | Key |
| Certificate | Chartered institute of barriers in Scotland | ' |
| Certificate in Mortgage Advice and | Chartered Institute of Bankers in Scotland | 1 |
| Practice (MAPC) (Pre 16/09/2004) | | |
| MAPC bridge paper plus entry | Chartered Institute of Bankers in Scotland | 1 |
| requirements (Pre 31/10/2004) | | |
| Certificate in Mortgage Advice | Chartered Insurance Institute | 1 |
| Mortgage Advice Qualification | Chartered Insurance Institute | 1 |
| (MAQ) plus entry requirements | | |
| FSSC Advanced Apprenticeship in | | 1 |
| Advising on Financial Products | | |
| (Mortgage Advice Pathway) | | |
| Certificate in Mortgage Advice and | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 |
| Practice (Post 1/11/2004) | | |
| Diploma for Mortgage Advice and | ifs School of Finance | 1 |
| Practice DipMAP (plus entry | | |
| requirements) | | |
| Certificate in Mortgage Advice and | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 |
| Practice (CeMAP) (Pre | | |
| 31/10/2004) | | |
| CeMAP Bridge paper plus entry | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 |
| requirements | Objectional limitity to at Doubless in Contland | |
| Certificate in Investment Planning | Chartered Institute of Bankers in Scotland | 3 |
| Paper 1 (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 2 |
| MAPC – Paper 1 (Pre 16/09/2004) Mortgage Advice and Practice | Chartered Institute of Bankers in Scotland Chartered Institute of Bankers in Scotland | 3 |
| Certificate – Paper 1 (Post | Charleted institute of bankers in Scotland | 3 |
| 17/09/2004) | | |
| Investment Advice Certificate – | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
| Paper 1 (No new registrations) | The oriantered manuale for occurring a myearment (i ormen) the occurring a myearment manuale) | l S |
| Certificate in Mortgage Advice – | Chartered Insurance Institute | 3 |
| Paper 1 | | |
| Financial Planning Certificate – | Chartered Insurance Institute | 3 |
| Paper 1 (No registrations after | | |
| 17/12/2004) | | |
| Certificate in Mortgage Advice and | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 3 |
| Practice – Paper 1 (Post | | |
| 1/11/2004) | | |
| Certificate for Financial Advisers – | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 3 |
| Paper 1 (Pre 31/10/2004) | | |

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

| Qualification table for : Advising a customer on Equity release transactions – Activity number 21 in TC Appendix 1.1.1R | | | | |
|---|--|-----|--|--|
| Qualification | Qualification Provider | Key | | |
| Certificate in Equity Release (Formerly known as Certificate in Financial Planning and Lifetime Mortgages) | Chartered Insurance Institute | 1 | | |
| Certificate in Regulated Equity Release (Formerly known as Certificate in Lifetime Mortgages) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | | |
| Equity Release Mortgage Advice & Practice Certificate (ERMAPC) | Chartered Institute of Bankers in Scotland | 1 | | |
| Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 1 | | |
| Lifetime Mortgage Advice and Practice Certificate | Chartered Institute of Bankers in Scotland | 1 | | |
| MAPC Bridge paper plus entry requirements (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 1 | | |
| Mortgage Advice Qualification (MAQ) plus entry requirements | Chartered Insurance Institute | 1 | | |
| CeMAP bridge paper plus entry requirements (Pre 31/19/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | | |
| Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | | |
| Certificate in Investment Planning – Paper 1 (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 3 | | |
| Certificate in Mortgage Advice and Practice (MAPC) – Paper 1 (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 3 | | |
| Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004) | Chartered Institute of Bankers in Scotland | 3 | | |
| Certificate in Investment and Financial Advice – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 | | |
| Investment Advice Certificate – Paper 1 (No new registrations) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 | | |
| Certificate in Mortgage Advice – Paper 1 | Chartered Insurance Institute | 3 | | |

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

| Qualification | Qualification Provider | Key | |
|---|--|-----|--|
| Equity Release Mortgage Advice & Practice Certificate (ERMAPC) | Chartered Institute of Bankers in Scotland | 1 | |
| Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 1 | |
| Lifetime Mortgage Advice and Practice Certificate | Chartered Institute of Bankers in Scotland | 1 | |
| MAPC bridge paper plus entry requirements (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 1 | |
| Certificate in Equity Release | Chartered Insurance Institute | 1 | |
| Mortgage Advice Qualification (MAQ) plus entry requirements | Chartered Insurance Institute | 1 | |
| Certificate in Regulated Equity release | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | |
| Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | |
| CeMAP bridge paper plus entry requirements (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 1 | |
| Certificate in Investment Planning – Paper 1 (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 3 | |
| Certificate in Mortgage Advice and Practice (MAPC) – Paper 1 (Pre 16/09/2004) | Chartered Institute of Bankers in Scotland | 3 | |
| Certificate in Investment and Financial Advice – Paper 1 | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 | |

| Investment Advice Certificate – Paper 1 (No new registrations) | The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) | 3 |
|--|--|---|
| Financial Planning Certificate – Paper 1 (No new registrations after 17/12/2004) | Chartered Insurance Institute | 3 |
| Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004) | ifs School of Finance (Formerly the Chartered Institute of Bankers) | 3 |

| 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 | |