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 until, and on and after, 31 December 2012
b	Meets full qualification requirement until 31 December 2012. On and after 31 December 2012 this must be combined with qualification gap-fill. This gap-fill constitutes additional structured continuing professional development, which need not be by examination, completed and verified by an accredited body
С	Meets full qualification requirement until 31 December 2012
d + e	Meets full qualification requirement until 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		<u> </u>
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	, and the second	
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 firm)	The Chartered Institute for Convities 9 Investment (Forms only the Convities 9 Investment Institute)	+
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 Investments (Securities and Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives – Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representatives Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Fellow or Associate or where the individual has passed all of the following modules CT1, CT2, CT4, CT5, CT6, CT7 and CT8	Faculty or Institute of Actuaries	а
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 Certificate	Chartered Insurance Institute	С
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 (and other regional stock exchanges as merged with London Stock Exchange) – where candidates hold three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	b
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	а
TSA Registered Representative Examinations	The Securities Association (now The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	С
BA in Accounting and Finance	University of Stirling	b
BA in Finance	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance (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
ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)	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	Canadian Securities Institute	d
Practices Handbook		
Investment Practice version of the Investment	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	d
Management Certificate	Management & Research)	
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Investment Management) – Unit 5		
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Investments (Securities) plus Securities Institute		
Level 3 Certificate in Investments (Derivatives) –		
Unit 3		
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representative	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities Dealers (NASD)	d
Examination		
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Certificate Programme		
Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Registered Stock Broker	The Irish Stock Exchange	d
Promotore Finanziario Examination	Italian Exchange	d
Membership Examination	Johannesburg Stock Exchange	d
Registered Representative of Public Securities	Japanese Bankers Association	d
Examination (pre-April 1990)		
Representative of Public Securities Qualification –	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		<u>.</u>
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)	O'construction of the control of the	
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
CIIA Qualification (when it is accompanied with	Association of Certified International Investment Analysts (ACIIA)	а
appropriate qualification 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 plus Unit 1 of the	CFA Institute/ CFA Society of UK	а
Investment Management Certificate (Level 4		
certificate) (post-2010 exam standards)		
Investment Management Certificate (Level 4	CFA Institute/ CFA Society of UK	а
certificate) (post-2010 exam standards) plus other		
qualifications that meet RDR specialist standards		
for derivatives		
Chartered Financial Analyst plus Unit 1 of the	CFA Institute/ CFA Society of UK	b
Investment Management Certificate (pre-2010		
exam standards)		
Chartered Financial Analyst Program Level 1 plus	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of	а

Investment Management Certificate (Level 4 certificate) (post-2010 exam standards)	Investment Management & Research)	
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 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Investment Advice Diploma (where candidate holds 3 units including the Derivatives unit)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Masters in Wealth Management (pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С

SFA Securities Representative plus Financial 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, CT4, CT5, CT6, CT7 and CT8	Faculty or Institute of Actuaries	а
Financial Planning Certificate	Chartered Insurance Institute	С
G70 paper of the Advanced Financial Planning 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 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 (and other regional stock exchanges as merged with London Stock Exchange) – where candidates hold three or four papers or have both the Stock Exchange Practice and Techniques of Investment papers	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	b
BA (Hons) Financial Services, Planning and Management	Manchester Metropolitan University	а
TSA Registered Representative Examinations	The Securities Association	С
International Capital Markets Qualification (ICMQ) including a pass in Futures, Options and other Derivative Products paper	Securities Institute/ South African Institute of Financial Markets	С
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
ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)	ACI	а
Secondary Examination	Analyst Association of Japan	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Chartered Financial Analyst	CFA Institute	d
Investment Practice paper of the Investment Management Certificate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	d
Investment Paper (pre-August 1994 syllabus)	Chartered Institute of Bankers in Scotland	d
Securities Institute Level 3 Certificate in	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d

Investments (Investment Management) – Unit 5		
Diploma including passes in both the Australian		
	Financial Services Institute for Australasia (Formerly the Securities Institute of Australia)	d
Futures Trading and Options papers	ICMA Contro / University of Depuling (Forms only ICMA Contro / University of Depuling)	
International Fixed Income and Derivatives (IFID)	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Certificate Programme		
Investment Management Paper from the	Ifs School of Finance (formerly the Chartered Institute of Bankers)	d
Associateship		
Investment Planning Paper – Paper 2	Institute of Bankers in Ireland	d
Registered Representative of Public Securities	Japanese Bankers Association	d
Examination (pre April 1990)	Japanese Bankers Association	ď
Representative of Public Securities Qualification –	Japanese Pankers Association	d
Class 1	Japanese Bankers Association	l a
Representative of Public Securities Examination	Lancing One Was Dealers Association	
(pre April 1990)	Japanese Securities Dealers Association	d
Representative of Public Securities Qualification –		
Type 1	Japanese Securities Dealers Association	d
Module B(ii), Securities and Portfolio		
Management	Law Society of England and Wales	d
Series 3 – Futures Representative Examination	National Futures Association	d
Examination	NIBE SVV the Dutch Institute for Banking, Insurance & Stockbroking Industry	d
Examination	Norwegian Society of Financial Analysts	d
Singapore Exchange Futures Trading Test	Singapore Institute of Banking & Finance	d
Registered Representative Examination	Sydney Futures Exchange	d
Diploma – Regulation and Compliance Paper	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – IMRO	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	e
Regulatory Environment module	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	6
Investment Administration Qualification – SFA	The Chartered Institute for Convities 8 Investment (Formark) the Convities 8 Investment Institute)	
Regulatory Environment module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Investment Administration Qualification – Unit 2		
FSA Regulatory Environment (Formerly the		
Investment Administration Qualification –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Regulatory Environment Module)		
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	The Charleted institute for Securities & investment (i officenty the Securities & investment institute)	- -
	The Chartered Institute for Cogurities & Investment (Formarky the Cogurities & Investment Institute)	
Financial Regulation (Formerly the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Institute Regulatory Paper)		
SFA Registered Persons Examination – Section 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
(Regulation)	, , ,	
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	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
Investment Management Certificate (Level 4 certificate) (post-2010 exam standards) plus other qualifications that meet specialist standards for advising on packaged products	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	а
Diploma in Investment Planning (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (Retail Banking) New Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in Investment Planning (Retail Banking) (Existing Adviser) Post 2010 examination standards	Chartered Institute of Bankers in Scotland	а
Diploma in investment planning (work based assessment)	Chartered Institute of Bankers in Scotland	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
nvestment 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	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а

unit)		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidates hold 3 modules as recommended by the firm)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Diploma in Regulated Financial Planning	Chartered Insurance Institute	а
Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)	Chartered Insurance Institute	а
Advanced Diploma in Financial Planning	Chartered Insurance Institute	b
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
Associate (ACII) (where candidate holds appropriate life and pension modules)	Chartered Insurance Institute	b
Associate (ALIA Dip)	Chartered Insurance Institute	b
Diploma in Financial Planning	Chartered Insurance Institute	b
Fellow (FCII) (where candidates hold appropriate life and pensions modules)	Chartered Insurance Institute	b
Certificate in Financial Planning	Chartered Insurance Institute	С
Financial Planning Certificate (No new registrations after 17/12/2004)	Chartered Insurance Institute	С
Fellow (FLIA Dip)	Chartered Insurance Institute	b
Fellow or Associate or where the individual has passed all of the following modules CT1, CT2, CT4, CT5, CT6, CT7 and CT8	Faculty or Institute of Actuaries	а
FSSC Advanced Apprenticeship in Advising on Financial Products (Financial Advice Pathway)		С
Associate (where candidate has passed the investment module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Diploma for Financial Advisers (pre 2010 examination standards)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Professional Investment Certificate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Diploma for Financial Advisers (post 2010)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	а
Certificate for Financial Advisers (Post 1/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	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 Financial Advice module)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	а
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
(and other regional stock exchanges as merged	Securities & Investment Institute)	
with London Stock Exchange) – 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	Manakastar Matranalitan Hairraraitu	
Management	Manchester Metropolitan University	а
Diploma in Regulated Retirement Advice	Pensions Management Institute	а
BA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
MA in Financial Services (1995 to 2001)	Sheffield Hallam University	b
Post Graduate in Financial Services (1995 to	Sheffield Hallam University	-
2001)		b
BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
BA in Financial Services (1995 to 2001)	University of the West of England	b
MA in Financial Services (1995 to 2001)	University of the West of England	b
Post Graduate in Financial Services (1995 to		
2001)	University of the West of England	b
Investment Management Paper from the	Ita Cabaal of Finance (formands the Obertand Institute of Deallane)	-1
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	Chartered Institute of Dankers in Costland	
31/10/2004)	Chartered Institute of Bankers in Scotland	е
Certificate in Investment Planning – Paper 1 (Post	Chartered Institute of Bankers in Scotland	
17/09/2004)	Charleted institute of bankers in Scotland	е
Certificate in Investment and Financial Advice –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	
Paper 1		е
Investment Advice Certificate Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	е
Certificate in Financial Planning – Paper 1	Chartered Insurance Institute	е
Certificate for Financial Advisers – Paper 1 (Post	ifs School of Finance (Formerly the Chartered Institute of Bankers)	
1/11/2004)		е
Certificate for Financial Advisers Paper 1 (Pre	ifa Cabaal of Finance (Formarky the Chartered Institute of Banksers)	
31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	е
Certificate in Mortgage Advice and Practice	ifs School of Finance (Formerly the Chartered Institute of Bankers)	
(CeMAP) – Paper 1 (Pre 31/10/2004)	is School of Finance (Furnierly the Charteleu institute of Darikers)	е

Qualification table for : Advising on, and dealing in Securities (which are not stakeholder pension schemes or broker funds) – Activity number 12 in TC Appendi	x 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	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	b
Management certificate (pre-2010 exam standards)	Institute of Investment Management & Research)	
Chartered Financial Analyst Program Level 1 plus Investment	CFA Institute/ CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/	b
Management Certificate (pre-2010 exam standards)	Institute of Investment Management & Research)	
Fellow by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Associate	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research)	b
Investment Management Certificate (Level 3)	CFA Society of UK	С
Associateship – must include a pass in the investment paper	Chartered Institute for Bankers in Scotland	b
Investment Advice Diploma (where candidate holds 3 modules including the securities module)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Masters in Wealth Management (based on post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Private Client Investment Advice and Management (attained through competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Securities - Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Certificate in Securities and Financial Derivatives – Retail	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С

Certificate in Investment Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Level 6 Diploma in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Securities Institute Level 3 Certificate in Investments (Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Management)		
Securities Institute Level 3 Certificate in Investments (Securities &	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Financial Derivatives)		
Securities Institute Level 3 Certificate in Investments (Securities)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
SFA Securities and Financial Derivatives Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	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 (and other	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment;	b
regional stock exchanges as merged with London Stock	Formerly the Securities & Investment Institute)	
Exchange) – 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	Manchester Metropolitan University	а
TSA Registered Representative Examinations	The Securities Association	С
BA in Finance	University of Stirling	b
BA in Finance and Accounting	University of Stirling	b
MSc in Investment Analysis	University of Stirling	b
MSc in Finance	University of Stirling	d
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
ACI Diploma (when it is accompanied with appropriate	ACI	а
qualification modules covering regulation & ethics, investment		
principles & risk and personal taxation)		
Secondary Examination	Analyst Association of Japan	d
Diploma	Association of Belgian Financial Analysts	d
Certified International Investment Analyst (CIIA)	The Association of Certified International Investment Analysts (ACIIA)	d
Canadian Securities Course plus Conduct and Practices	Canadian Securities Institute	d
Handbook		
Certified European Financial Analyst	EFFAS Societies with accredited examinations	d
Series 7 – General Securities Representatives Examination	Financial Industry Regulatory Authority (FINRA) – Formerly the National Association of Securities	d
	Dealers (NASD)	
Certificate in Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Diploma of Financial Markets	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Examination	French Society of Investment Analysts	d
International Fixed Income and Derivatives (IFID) Certificate	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Programme		
General Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
Irish Registered Representative Examination	Irish Stock Exchange/ Dublin City University	d
Promotore Finanziario Examination	Italian Exchange	d

Registered Representative of Public Securities Examination (pre	Japanese Bankers Association	d
April 1990)	Japanese Dankers Association	l u
Representative of Public Securities Qualification – Class 1	Japanese Bankers Association	d
Registered Representative of Public Securities Examination (pre	Japanese Securities Dealers Association	d
April 1990)	dapanood documed Bodioro / loddoladiori	"
Representative of Public Securities Qualification – Type 1	Japanese Securities Dealers Association	d
Membership Examinations	Johannesburg Stock Exchange	d
Elementary, Intermediate and International Capital Markets	Korea Securities Training	d
Courses		
Trainee Dealers Representative Examination	Kuala Lumpur Stock Exchange	d
Module B(ii), Securities and Portfolio Management	Law Society of England and Wales	d
Certificate	New Zealand Stock Exchange	d
Examination	NIBE SVV the Dutch Institute for the Banking, Insurance & Stockbroking Industry	d
International Capital Markets Qualification (inclusive of the Fixed	Securities Institute/ South African Institute of Financial Markets	d
Interest and Bond Markets Module)		
Dealers Representative Examination	Singapore Exchange	d
Diploma	The Swiss Stock Exchange	d
Professional Certificate in Stockbroking	University College Dublin (UCD)/ The Institute of Bankers School of Professional Finance	d
Investment Administration Qualification – IMRO Regulatory	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Environment Module		
Investment Administration Qualification – SFA Regulatory	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Environment Module		
Investment Administration Qualification – Unit 2 FSA Regulatory	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Environment – (Formerly the Investment Administration		
Qualification Regulatory Environment Module)		
Investment Operations Certificate – FSA Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
Module		
Securities & Investment Institute – Unit 1 Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
(Formerly the Securities Institute Regulatory Paper)		
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	е
	Investment Management & Research)	
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е
SFA Registered Persons Examination – Section 1 (Regulation)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	е

Qualification table for : Advising on and dealing with or for clients in <i>Derivatives</i> – Activity number 13 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	Association of International Wealth Managers	а
CIIA Qualification (when it is accompanied	Association of Certified International Investment Analysts (ACIIA)	а
with appropriate qualification modules		
covering regulation & ethics, investment		
principles & risk and personal taxation)		
MSC in Banking and International Finance	CASS Business School	а

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(provided it is accompanied with appropriate qualifications modules covering regulation & ethics, investment principles & risk and personal taxation)		
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
Investment 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
Investment Management Certificate	CFA Society of UK	С
Associateship – must include a pass in the Investment Paper	Chartered Institute of Bankers in Scotland	b
Investment Advice Diploma (where candidate holds 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 competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Masters in Wealth Management (based on pre 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Masters in Wealth Management (based on post 2010 examination standards)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	а
Diploma (where candidate holds 3 modules as recommended by the <i>firm</i>)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	b
Certificate in Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	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 <i>firm</i>)		
SFA Futures and Options Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Examination		
SFA Securities and Financial Derivatives	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	С
Representative Examination		
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)	С
plus Financial Derivatives Module		
Financial Futures and Options paper of the	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	d
Diploma		
Advanced Financial Planning Certificate	Chartered Insurance Institute	b
G70 Paper of Advanced Financial Planning	Chartered Insurance Institute	С
Certificate		
Associateship – (must include a pass in the	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Investment Paper)		
Associateship – (must include a pass in the	ifs School of Finance (Formerly the Chartered Institute of Bankers)	b
Investment Management Paper)		
London Stock Exchange Full Membership	London Stock Exchange (records now kept by The Chartered Institute for Securities & Investment; Formerly the	b
Exams (and other regional stock exchanges	Securities & Investment Institute)	
as merged with London Stock Exchange) -		
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	Manchester Metropolitan University	а
Management		
TSA Registered Representative Examination	The Securities Association	С
International Capital Markets Qualification	Securities Institute/ South African Institute of Financial Markets	d
(ICMQ) including pass in Futures, Options		
and other Derivative Products		
BA in Finance and Accounting	University of Stirling	b
MSc in Finance	University of Stirling	b
MSc in International Accounting and Finance	University of Stirling	b
(where candidates hold modules as		
recommended by the firm)		

MSc in Investment Analysis	University of Stirling	b
ACI Dealing Certificate	ACI	d
ACI Diploma	ACI	d
ACI Diploma (when it is accompanied with	ACI	а
appropriate qualification modules covering		
regulation & ethics, investment principles &		
risk and personal taxation)		
Secondary Examination	Analyst Association of Japan	d
Certified International Investment Analyst	The Association of Certified International Investment Analysts (ACIIA)	d
(CIIA)	,	
Derivatives Fundamentals Course and	Canadian Securities Institute	d
Futures/Options Licensing Course		
Diploma including passes in both the	Financial Services Institute of Australasia (Formerly the Securities Institute of Australia)	d
Australian Futures Trading and Options	This is a second of the second	
Trading papers		
International Fixed Income and Derivatives	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	d
(IFID) Certificate Programme	Town Control of Troducing (Formor) Town Control of Troducing)	~
Registered Representative of Public	Japanese Bankers Association	d
Securities Examination (pre April 1990)	aparioso Barikoro Accocidion	ď
Representative of Public Securities	Japanese Bankers Association	d
Qualifications – Class 1	aparioso Barikoro Accocidion	ď
Representative of Public Securities	Japanese Securities Dealers Association	d
Examination (pre April 1990)	dupariose dedurities bediere / lessociation	ď
Representative of Public Securities	Japanese Securities Dealers Association	d
Qualifications – Type 1	dupariose dedurities bediere / lessociation	ď
Module B(ii), Securities and Portfolio	Law Society of England and Wales	d
Management	Law Coolety of England and Walco	ď
Series 3 National Commodities Futures	National Futures Association	d
Examination	Tradional Futures Association	ď
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
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	+
Unit 1 – Financial Regulation		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 –		
		1

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

Qualification	Body	Key
Fellow or Associate by examination	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	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)	Language Constitute Declare Association	
Representative of Public Securities	Japanese Securities Dealers Association	2
Examination (pre-April 1990)	Language Devices Association	
Representative of Public Securities	Japanese Bankers Association	2
Qualification – Class 1	Innonesa Consuition Declare Association	
Representative of Public Securities	Japanese Securities Dealers Association	2
Qualification – Type 1		

Law Society of England & Wales	2
	2
South African Institute of Financial Markets	2
University of Stirling	2
CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	3
Management & Research)	
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
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1	3
The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment Management & Research) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)

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

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

Qualification	Qualification Provider	Key
Certified International Wealth 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 CISI competency interview and presentation only)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Diploma (where candidate holds 3 modules as recommended by the firm)	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

Mostors in Weelth Management	The Chartered Institute for Cogurities & Investment (Formerly the Cogurities & Investment Institute)	1
Masters in Wealth Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management	The Objective Health to the One office Objective of (Ferrald the One office Objective (Health to))	4
Level 6 Diploma in Wealth	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Management		
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	1
Certificate in Investments		
(Investment Management)		
London Stock Exchange Full	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	1
Membership Exams (and other	Securities & Investment Institute)	
regional stock exchanges as	,	
merged with London Stock		
Exchange) – where candidates		
hold three or four papers or have		
both the Stock Exchange Practice		
and Technique of Investment		
Papers		
Advanced Financial Planning	Chartered Insurance Institute	1
Certificate (must include a pass in		'
G70 paper)	Objects and leaves as leastify to (OII)	4
Certificate in Discretionary	Chartered Insurance Institute (CII)	1
Investment Management		
Associate – achieved by	Faculty or Institute of Actuaries	1
examination passed before 1		
December 2001 (must include a		
pass in Subject 301 – Investment		
and Asset Management (syllabus		
in force from 1998)		
Fellow – achieved by examination	Faculty or Institute of Actuaries	1
(must include a pass in subjects		
301 and 401 Investment and Asset		
Management (syllabus in force		
from 1998)		
Fellow or Associate by examination	Faculty or Institute of Actuaries	1
(must include Investment Paper E		
(Syllabus in force until 1998))		
Fellow or Associate or where the	Faculty or Institute of Actuaries	1
individual has passed all of the		-
following modules CT1, CT2, CT4,		
CT5, CT6, CT7 and CT8		
MSc in International Accounting	University of Stirling	1
(where candidates hold modules	Onliverency or Our ming	'
as recommended by the <i>firm</i>)		
MSc in Investment Analysis	University of Stirling	1
	University of Stirling The Association of Contified International Investment Applyate (ACIIA)	
Certified International Investment	The Association of Certified International Investment Analysts (ACIIA)	2

Analyst (CIIA)		
Chartered Financial Analyst (Level	CFA Institute	2
1)	Of A filstitute	2
Investment Management Asset	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Allocation Qualification		2
	Management & Research)	
Investment Practice Version of	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	2
Investment Management	Management & Research)	
Certificate (both pre and post 2010		
reformed Appropriate Exam		
standards versions)		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Management – paper 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	2
Certificate in Investments		
(Investment Management) – unit 5		
Certified European Financial	EFFAS Societies with accredited examinations	2
Analyst		
IPF Certificate in Property	Investment Property Forum	2
Investment		_
Associate – achieved by	Faculty or Institute of Actuaries	2
examination passed after 30	T doubty of motitate of Notatinoo	_
November 2001 (must include a		
pass in subject 301 – Investment		
and Asset Management (syllabus		
in force from 1998)		
Chartered Member	Cognition Analysts Approjetion of Janen	2
	Securities Analysts Association of Japan	2
Certificate in Investment	Society of Investment Analysts in Ireland	2
Management (at least 3 papers		
passed by examination)		
Ordinary and Senior Certificates	South African Institute of Financial Markets	2
Dual degree Executive MBA in	Swiss Finance Institute	2
Asset and Wealth Management		
Unit 1 – UK Regulation & 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
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		
Qualification — Of A Negulatory		

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

Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
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	mountaine de contaction de contaction de l'action de la contaction de la c	
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		·
Practice (including the Regulatory		
module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Northern Ireland	4
TSA Registered Representative	The Securities Association	4
Examination		
Fellow or Associate	Pensions Management Institute	4
Investment Management	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Certificate	Management & Research)	
Investment Regulation and	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
Practice Paper of the Associate	Management & Research)	
Examination		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management & Research)	
Management Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory		
Environment		
Unit 6 – Principles of Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Regulation		
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management		_
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	TI OI + 11 (1 + 1 O) 11 O 1	
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	The Chartered Institute for Convities 9 Investment (Forest white Convities 9 Investment Institute)	
Diploma Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Chartered Institute for Securities & Investment (Formarky the Securities & Investment Institute)	5
Diploma Regulation and Compliance Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	Э
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	o o
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory	The Charleted mandle for Securities & investment (i officing the Securities & investment institute)	3
Environment Module		
LITALIOTHITICHE MOUNTE		

Investment Operations Certificate – FSA Financial Regulation Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	5
Paper 1 Securities Institute Level 3	The Chartered Institute for Cognition & Investment (Formark) the Cognition & Investment Institute	E
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)	The Objective Head's to Constitute Objective (Francisk the Objective Objective (Francisk the Objective Obj	<u> </u>
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –		
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	5
Representative Examination	Securities & Investment Institute)	
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
Certificate for Financial Advisers	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 (Pre 31/10/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration		
Practice (including the Regulatory		
module within the examination)		
TSA Registered Representative	The Securities Association	5
Examination	The desarties / tosociation	
ACI Operations Certificate when	ACI The Financial Markets Association	4
combined with Chartered Institute	TOT THE THIRD IN MICHOLO TOO COULDING	
of Securities and Investment (CISI)		
Introduction to Securities &		
Investments and one of the		
Regulatory units of the Investment		
Operations Certificate (IOC)		
	ACI The Financial Markets Association	4
ACI Dealing Certificate when	ACI THE FINANCIAL MARKETS ASSOCIATION	4
combined with Chartered Institute		
of Securities & Investments (CISI)		

Little Latin to One Street		
Introduction to Securities &		
Investments and one of the		
Regulatory units of the Operations		
Certificate (IOC)	The Chartered bestitute for Convities Chartered (Forms of the Convities Chartered bestitute)	
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The Objective Heaffe to Consider a Objective of (Foundation Objective Objective of Leaffe to)	
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module	The Objective Heaffette for Oak Star Objective of (Ferrald Heaffette)	
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module	TI OL 4 11 (14 C O VI OL 4 (F O	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Collective		
Investment Schemes		
Administration Module	The Chartere dispetitute for Convities Chartere at (Forms only the Convities Charter and Institute)	
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 Collective Investment Schemes Administration Module 		
	The Chartered Institute for Cognities & Investment (Formerly the Cognities & Investment Institute)	6
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	0
Qualification – Asset Servicing Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	O
Asset Servicing Module Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Basics of CREST	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	0
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Bond Settlement	The oriented institute for occurries a investment (i orinorly the occurries a investment institute)	
Module Sond Sottlement		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification CREST Settlement	(· · · · · · · · · · · · · · · · · · ·	
Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
- CREST Settlement Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification Derivatives		
Operations Module		
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		1
Module		
Investment Administration Qualification – ISA Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – ISA Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – ISA and PEP Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification OEIC Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Operational Risk Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – Operational Risk Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – OTC Derivatives Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – OTC Derivatives Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification PEP Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Portfolio Performance Measurement Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Private Client Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Operations Certificate – Private Client Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification Unit Trust Administration Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Certificate in Collective Investment Scheme Administration	Institute of Chartered Secretaries & Administrators	6
Certificate n Company Secretarial Practice and Share Registration Practice (including the Regulatory module within the examination)	Institute of Chartered Secretaries & Administrators	6

Investment Administration Management Award	Investment Management Association	6
In house module (only where the firm can demonstrate that none of the listed examinations is appropriate)		6

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

module within the examination)		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	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 –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments		
(Investment Management)		
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation		
(Formerly the Securities Institute		

Regulatory Paper)		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination	The Shartered medicate for ecountries a invocation of entropy the ecountries a invocation institute)	
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1	S S S S S S S S	
(Regulation)		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination	The change of monators of mona	
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative	(change a monato a monato)	
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	5
Representative Examination	Securities & Investment Institute)	
Financial Planning Certificate	Chartered Insurance Institute	5
Paper 1		-
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Paper 1 pre 31/10/2004	()	-
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration		
Practice (including the Regulatory		
module within the examination)		
TSA Registered Representative	The Securities Association	5
Examinations		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Global Securities		
Operations Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 Global Securities Operation 		
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 Private Client Administration 		
Module		
Diploma International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Management Module		
Diploma Operations Management	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
Module		

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

L A. L	The Observation to the Observation of the Observati	
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	The original institute for occurring a investment (i ornion) the occurring a investment institute)	8
Administration Module		
Operations Certificate Programme	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	6
(OCP)	Town Centre/ Onliversity of Reading (Formerly Island Centre/ Onliversity of Reading)	0
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	6
Scheme Administration	Institute of Chartered Secretaries & Administrators	0
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	6
Practice and Share Registration	Institute of Chartered Secretaries & Administrators	0
Practice (including the Regulatory module within the examination)		
	Luciantes and Maria managed Accordistion	
Investment Administration	Investment Management Association	6
Management Award		
In-house module (only where the		6
firm can demonstrate that none of		
the listed examinations are		
appropriate)		
Investment Administration	Chartered Institute of Securities & Investments (CISI)	6
Qualification (IAQ) – ISA and PEP		
Administration 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 Appendi		
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	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	4
Certificate	Management & Research)	7
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	The original module for described a investment (i orinorly the described a investment institute)	-
Securities and Investment Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Introduction to Securities and	The chartered methate for ecodimics a investment (i entirely the ecodimics a investment institute)	· ·
Investment Module		
Certificate in Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Derivatives – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management		·
Certificate in Securities – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Securities and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Financial Derivatives – Paper 2	, , , , , , , , , , , , , , , , , , , ,	
Client Services Qualification	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma - Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Management Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Paper 1		
Member of the Securities Institute	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
by examination		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4

Certificate in Investments		
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate –	Chartered Insurance Institute	4
Paper 1		
Fellow or Associate	Faculty or Institute of Actuaries	4
FSSC Advanced Apprenticeship in		4
Retail Financial Services		
(investment Administration		
Pathway including the Introduction		
to Securities and Investment		
module)		<u> </u>
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)		<u> </u>
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	4
Practice and Share Registration		
(including the Regulatory module		
within the examination)		1.
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 ACL Operations Cortificate when	ACI The Financial Markets Association	1
ACI Operations Certificate when combined with Chartered Institute	ACT THE FINANCIAL MARKETS 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		
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		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of Investment Management	Management & Research)	
Certificate		
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – FSA Regulatory		
Environment Module		_
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
– FSA Financial Regulation		
Module	The Chartered Institute for Convities 9 Investment (Formerly the Convities 9 Investment Institute)	F
Unit 6 – Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investment	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
Diploma – Global Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	The original institute for occurries a investment (Formerly the occurries a investment institute)	١
Diploma – International Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	The original matter of occurring a investment in orinory the occurring a investment institute)	
Diploma – Operations	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Management Module	The original matrice for occurring a involution of officing the occurring a involution matrice	~
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Module	The Charles of Medical of Cooking a myodinary the Cooking a myodinary modition	
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	the state of the s	-
		l .

Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory	The Shartered medicine for Securities a investment (i officiny the Securities a investment institute)	
Environment Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The chartered mentale for decamiles a investment (i officing the decamiles a investment institute)	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Certificate in Investments	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
(Investment Management)		
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
	The Chartered institute for Securities & investment (Formerly the Securities & investment institute)	3
Unit 1 Financial Regulation		
(Formerly the Securities Institute		
Regulatory Paper)	The Chartered Institute for Convities 9 Investment (Formers), the Convities 9 Investment Institute	F
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Representative Examination	The Chartered Institute for Cognities & Investment (Formerly the Cognities & Investment Institute)	
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)	The Chartered Institute for Cognition & Investment /Formerly the Cognition & Investment Institute	
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination	The Objective Head to the Oar Star Objective (Francisk Res Oar Star Objective (Francisk Res	-
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Derivatives Representative		
Examination		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		
FSSC Advanced Apprenticeship in		5
Retail Financial Services		
(Investment Administration		
Pathway including FSA Regulatory		
Environment or Principles of		
Financial Regulation)		<u> </u>
Diploma in Capital Markets,	ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	5
Regulation and Compliance		-
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)		
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	5
Scheme Administration		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	5
Practice and Share Registration		
(including the Regulatory module		
within the examination)		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Asset Servicing		
Module		
Qualification – Asset Servicing	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6

Investment Operations Certificate Asset Servicing Module Investment Administration Gualification - GREST Settlement Module Investment Administration Gualification - GREST Settlement Module Investment Operations Certificate CREST Settlement Module Investment Operations Certificate The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Global Securities Operation Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Global Securities Operation Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification Operations Certificate Global Securities Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification on IsA and CTF Administration Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification on IsA and CTF Administration Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification Operations Management Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Basics of CREST module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Basics of CREST module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Boad Settlement Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Boad Settlement Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Gualification - Derivatives Operations Module The Chartered Institute for Securities & Investment (Formerly the Securit		
Investment Administration Cualification - CREST Settlement Module Investment Operations Certificate CREST Settlement Module Investment Administration 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 CREST Settlement Module Investment Operations Certificate Global Securities Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 CREST Settlement Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 CREST Settlement Module CREST Settlement Administration CREST Settlement Settlemen		6
CREST Settlement Module Investment Administration Qualification - Operations Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6	vestment Administration alification – CREST Settlement	6
Qualification – Global Securities Operation Module Investment Operations Certificate – Global Securities Module Investment Administration The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6		6
Global Securities Module Investment Administration 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 Qualification – Basics of CREST The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Management Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Management Module Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Management Module Modu	ualification – Global Securities	6
Qualification – ISA and CTF Administration module Diploma – Global Operations The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 6		6
Management Module Diploma – International Operations Management Module Diploma – Operations Management Module Diploma – Operations The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Management Module Investment Administration Qualification – Basics of CREST Module Investment Administration Qualification – Bond Settlement Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Exchange-Traded Derivative Administration Qualification – Exchange-Traded Derivative Administration Administration Qualification – Exchange-Traded Derivative Administration The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Capacities Capacit	ualification – ISA and CTF	6
Management Module Diploma – Operations Management Module Investment Administration Qualification – Basics of CREST module Investment Administration Qualification – Bond Settlement Module Investment Administration Qualification – Bond Settlement Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Exchange-Traded Derivative Administration Module Investment Operations Certificate – Exchange-Traded Derivative Administration Module Investment Administration Investment Operations Certificate – Exchange-Traded Derivative Administration Module Investment Administration The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)		6
Management Module Investment Administration Qualification – Basics of CREST module Investment Administration Qualification – Bond Settlement Module Investment Administration Qualification – Bond Settlement Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Derivatives Operations Module Investment Administration Qualification – Exchange-Traded Derivative Administration Module Investment Operations Certificate – Exchange-Traded Derivative Administration Module Investment Administration Investment Institute Investment Administration Investment Institute Investment Instit		6
Recording to the Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Chartered Institute for Securities & Investment		6
Qualification – Bond Settlement ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment Administration Qualification – Derivatives Operations ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment Administration Qualification – Exchange-Traded Derivative Administration ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment Operations Certificate – Exchange-Traded Derivative Administration ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment AdministrationThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	ualification – Basics of CREST	6
Qualification – Derivatives Operations ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment Administration Qualification – Exchange-Traded Derivative Administration ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment Operations Certificate – Exchange-Traded Derivative Administration ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)Investment AdministrationThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	ualification – Bond Settlement	6
Qualification – Exchange-Traded Derivative Administration ModuleInvestment Operations Certificate – Exchange-Traded Derivative Administration ModuleThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)6Investment AdministrationThe Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)6	ualification – Derivatives	6
- Exchange-Traded Derivative Administration Module Investment Administration The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6	ualification – Exchange-Traded	6
	Exchange-Traded Derivative	6
Module Global Custody	ualification – Global Custody	6
Investment Administration Qualification – Global Settlement Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6	ualification – Global Settlement	6
Investment Administration Qualification – ISA Administration Module The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6 Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6	ualification – ISA Administration odule	6
Investment Operations Module – The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 6	restment Operations Module –	6

ISA Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – OEIC	The Shartered medicine of Securities a investment (i Simony the Securities a investment institute)	
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Operational Risk	The Chartered institute for Securities & investment (i officing the Securities & investment institute)	O
•		
Module	The Chartered Institute for Congrition & Investment (Formerly the Congrition & Investment Institute)	6
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Operational Risk Module	The Objection of Institute for Occupition 9 Institute of (Formands the Occupition 9 Institute)	0
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 – ISA and PEP		
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Private Client		
Administration Module		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
 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	The original manage of occurrence a invocation (i critical) and occurrence a invocation manage,	
Administration Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Qualification – Unit Trust	The Ghartered institute for Securities & investment (i officing the Securities & investment institute)	0
Administration Module		
		6
FSSC Advanced Apprenticeship in Retail Financial Services		6
(Investment Administration		
Pathway including either Asset		
Servicing / CREST Settlement /		
Global Securities or ISA and CTF		
Administration)		
Certificate in Company Secretarial	Institute of Chartered Secretaries & Administrators	6
Practice and Share Registration		
(including the Regulatory module		
within the examination)		
Investment Administration	Investment Management Association	6
Management Award		
In house module (only where the		6
firm can demonstrate that none of		

the listed examinations is	
appropriate)	

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

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

Activity number 18 in TC Appendix 1.1.1R

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

Investment Operations Certificate – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Membership of the Securities	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Institute by examination	, · · · · · · · · · · · · · · · · · · ·	
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments	, ,	
(Derivatives) – Unit 3		
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments	The original institute for occurring a investment (i orintary the occurring a investment institute)	-
(Investment Management)		
Securities Institute Level 3	The Chartered Institute for Cognition & Investment (Formerly the Cognition & Investment Institute)	1
	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities) – Unit 2	T. O	+ .
Securities Institute Level 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Certificate in Investments		
(Securities & Financial Derivatives)		
– Unit 4		
SFA Corporate Finance	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Futures and Options	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Representative Examination		
SFA Securities Representative	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Examination		
SFA Securities and Financial	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Derivatives Representative		
Examination		
Stock Exchange Registered	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the	4
Representative Examination	Securities & Investment Institute)	
CF1 – UK financial services,	Chartered Insurance Institute	4
regulation and ethics	Chartered modificate	-
Certificate of Insurance Practice	Chartered Insurance Institute	4
Fellow or Associate	Chartered Insurance Institute Chartered Insurance Institute	4
	Chartered Insurance Institute Chartered Insurance Institute	4
Financial Planning Certificate –	Griantered insurance institute	4
Paper 1	Faculty or Institute of Actuaries	4
Fellow or Associate	Faculty or Institute of Actuaries	+ '
FSSC Advanced Apprenticeship in		4
Retail Financial Services (Long		
Term Insurance Pathway including CF1)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Post 1/11/2004)		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Certificate for Filialicial Auvisers –	is oction of Finance (Formerly the Chartered Institute of Dalikers)	T

Paper 1 (Pre 31/10/2004)		
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow of Associate	Institute of Chartered Accountants in England & Wales	4
Fellow of Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Treland Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Accountains in Scotland Institute of Chartered Secretaries & Administrators	4
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	The Securities Association	4
Examinations	The Securities Association	4
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1	Charleted institute of Bankers in Scotland	3
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance Paper	The Charleted institute for Securities & investment (i officing the Securities & investment institute)	3
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	The original institute for Securities & investment (Formerly the Securities & investment institute)	3
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – SFA Regulatory	The original matrice for occurring a myosimon (Formerly the occurring a myosimon matrice)	
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Unit 2 FSA	The chartered methate for ecounties a investment (i cimeny the ecounties a investment methate)	
Regulatory Environment –		
(Formerly the Investment		
Administration Qualification –		
Regulatory Environment Module)		
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
 FSA Financial Regulation 		
Module		
Investment Advice Certificate –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1		
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –		
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		
CF1 – UK financial services,	Chartered Insurance Institute	5
regulation and ethics		
Financial Planning Certificate –	Chartered Insurance Institute	5
Paper 1		

FSSC Advanced Apprenticeship in		5
Retail Financial Services (Long		J
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 Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – International Operations Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Diploma – Operations Management Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Administration Qualification – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Operations Certificate – Introduction to Securities and Investment Module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Investment Advice Certificate – Paper 1	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Member of the Securities Institute by examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Derivatives) – Unit 3	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Investment Management)	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities) – Unit 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
Securities Institute Level 3 Certificate in Investments (Securities & Financial Derivatives) – Unit 4	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Corporate Finance Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Futures and Options Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities and Financial Derivatives Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
SFA Securities Representative Examination	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	4
CF1 – UK financial services, regulation and ethics	Chartered Insurance Institute	4
Stock Exchange Registered Representative Examination	London Stock Exchange (records are now kept by the Chartered Institute for Securities & Investment; Formerly the Securities & Investment Institute)	4
Fellow or Associate	Chartered Insurance Institute	4
Financial Planning Certificate – Paper 1	Chartered Insurance Institute	4

Follow or Associate	Esculty or Institute of Actuaries	1 4
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)	its Oak and of Figure 2. (Farmands the Okartanad Institute of Dankson)	4
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Paper 1 (Pre 31/10/2004)	V 0 1 1 (E) (E 1 1 1 0 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	
Fellow or Associate	ifs School of Finance (Formerly the Chartered Institute of Bankers)	4
Fellow or Associate	Institute of Chartered Accountants in England & Wales	4
Fellow or Associate	Institute of Chartered Accountants in Ireland	4
Member	Institute of Chartered Accountants in Scotland	4
Certificate in Collective Investment	Institute of Chartered Secretaries & Administrators	4
Scheme Administration		
Fellow or Associate	Institute of Chartered Secretaries & Administrators	4
Solicitor	Law Society of England & Wales/ Law Society of Scotland/ Law Society of Northern Ireland	4
Fellow or Associate	Pensions Management Institute	4
TSA Registered Representative	The Securities Association	4
Examinations		
UK Regulation and Markets	CFA Society of UK (Formerly United Kingdom Society of Investment Professionals/ Institute of Investment	5
version of the Investment	Management & Research)	
Management Certificate	management a recovery	
Certificate in Investment Planning	Chartered Institute of Bankers in Scotland	5
- Paper 1	Chartered monate of Barners in Coolidna	
Diploma – Regulation and	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Compliance module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment institute)	٦
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – IMRO Regulatory	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	3
Environment Module		
Investment Administration	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Qualification – Unit 2 FSA	The Charleted institute for Securities & investment (Formerly the Securities & investment institute)	3
Regulatory Environment – (Formerly the Investment		
Administration Qualification –		
Regulatory Environment Module)	The Chartered legitive for Convities Chartered (Forms of the Convities Chartered Institute)	-
Investment Operations Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
– FSA Financial RegulationModule		
	The Chartere directions for Convities a large transport (Forms or both to Convities a large transport by stitute)	
Investment Advice Certificate	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Paper 1	The Charters of Institute for Convities Charter out (Forms of the Convities Charter out Institute)	-
Principles of Financial Regulation	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Securities & Investment Institute –	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Unit 1 Financial Regulation –		
(Formerly the Securities Institute		
Regulatory Paper)		
SFA Registered Persons	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	5
Examination – Section 1		
(Regulation)		

CF1 – UK financial services, regulation and ethics	Chartered Insurance 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 (Post 01/11/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	5
Investment Advice Certificate – Paper 2	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
Investment Administration Qualification – Pensions Administration module	The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute)	6
FA2 – Pensions administration paper	Chartered Insurance Institute	6
Certificate of Insurance Practice (Pensions route)	Chartered Insurance Institute	6
Fellow or Associate (Pensions route)	Chartered Insurance Institute	6
Financial Planning Certificate Paper 2	Chartered Insurance Institute	6
Pensions law, taxation and administration paper (740) from the Associateship	Chartered Insurance Institute	6
Associate or Fellow	Faculty or Institute of Actuaries	6
Certificate for Financial Advisers Paper 2 (Pre 31/10/2004)	ifs School of Finance (Formerly the Chartered Institute of Bankers)	6
Initial Test of Competence	Institute of Chartered Accountants in England & Wales	6
Initial Test of Competence	Institute of Chartered Accountants in Ireland	6
Initial Test of Competence	Institute of Chartered Accountants in Scotland	6
Module B(i) Retail Branded/ Packaged Products	Law Society of England & Wales	6
Fellow or Associate (by examination)	Pensions Management Institute	6
In house module (only where the firm can demonstrate that none of the listed examinations is appropriate)		6

Qualification table for : Advising a customer on a regulated mortgage contract (for a non-business purpose) – Activity number 20 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key

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

Qualification table for: Advising a customer on Equity release transactions - Activity number 21 in TC Appendix 1.1.1R Qualification **Qualification Provider** Key Certificate in Equity Release Chartered Insurance Institute (Formerly known as Certificate in Financial Planning and Lifetime Mortgages) Certificate in Regulated Equity ifs School of Finance (Formerly the Chartered Institute of Bankers) Release (Formerly known as Certificate in Lifetime Mortgages) Equity Release Mortgage Advice & Chartered Institute of Bankers in Scotland Practice Certificate (ERMAPC) Certificate in Mortgage Advice and Chartered Institute of Bankers in Scotland Practice (MAPC) (Pre 16/09/2004) Lifetime Mortgage Advice and Chartered Institute of Bankers in Scotland Practice Certificate MAPC Bridge paper plus entry Chartered Institute of Bankers in Scotland 1 requirements (Pre 16/09/2004) Mortgage Advice Qualification Chartered Insurance Institute 1 (MAQ) plus entry requirements CeMAP bridge paper plus entry ifs School of Finance (Formerly the Chartered Institute of Bankers) 1 requirements (Pre 31/19/2004) Certificate in Mortgage Advice and ifs School of Finance (Formerly the Chartered Institute of Bankers) 1 Practice (CeMAP) (Pre 31/10/2004) Certificate in Investment Planning Chartered Institute of Bankers in Scotland 3 – Paper 1 (Pre 16/09/2004) Certificate in Mortgage Advice and Chartered Institute of Bankers in Scotland 3 Practice (MAPC) - Paper 1 (Pre 16/09/2004) Mortgage Advice and Practice Chartered Institute of Bankers in Scotland 3 Certificate - Paper 1 (Post 17/09/2004) Certificate in Investment and The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) 3 Financial Advice - Paper 1 The Chartered Institute for Securities & Investment (Formerly the Securities & Investment Institute) Investment Advice Certificate – 3 Paper 1 (No new registrations) Certificate in Mortgage Advice -Chartered Insurance Institute 3 Paper 1 Certificate in Mortgage Advice -Chartered Insurance Institute 3 Paper 1 Financial Planning Certificate -Chartered Insurance Institute 3 Paper 1 (No new registrations after 17/12/2004)

Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Practice (Post 1/11/2004) – Paper		
1		
Certificate for Financial Advisers –	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Paper 1 (Pre 31/10/2004)		
Certificate in Mortgage Advice and	ifs School of Finance (Formerly the Chartered Institute of Bankers)	3
Practice (CeMAP) - Paper 1 (Pre		
31/10/2004)		

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

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

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