

**TRAINING AND COMPETENCE SOURCEBOOK (QUALIFICATIONS
AMENDMENTS NO 6) INSTRUMENT 2012**

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of:
- (1) the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
 - (a) section 138 (General rule-making power);
 - (b) section 149 (Evidential provisions);
 - (c) section 156 (General supplementary powers); and
 - (d) section 157(1) (Guidance); and
 - (2) the other powers and related provisions listed in Schedule 4 (Powers exercised) to the General Provisions of the Handbook.
- B. The rule-making powers referred to above are specified for the purpose of section 153(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 29 June 2012.

Amendments to the Handbook

- D. The Training and Competence sourcebook (TC) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Training and Competence Sourcebook (Qualifications Amendments No 6) Instrument 2012.

By order of the Board
28 June 2012

Annex

Amendments to the Training and Competence sourcebook (TC)

In this Annex, underlining indicates new text and striking through indicates deleted text.

Appendix 4E Appropriate Qualification tables

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Qualification table for : Advising on (but not dealing in) <i>securities</i> (which are not <i>stakeholder pension schemes</i> <u>schemes</u> , <i>personal pension schemes</i> or <i>broker funds</i>) – Activity number 2 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
...		
London Stock Exchange Full Membership Exams (<u>and other regional stock exchanges as merged with London Stock Exchange</u>) - 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
...		
ACI Diploma	ACI	d
<u>ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)</u>	<u>ACI</u>	<u>a</u>
...		

Qualification table for : Advising on (but not dealing in) <i>Derivatives</i> – Activity number 3 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
Certified International Wealth Manager	...	
<u>CIIA Qualification (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)</u>	<u>Association of Certified International Investment Analysts (ACIIA)</u>	<u>a</u>
...		
London Stock Exchange Full Membership Exams (<u>and other regional stock exchanges as merged with London Stock Exchange</u>) – 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
...		
ACI Diploma	ACI	d

<u>ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)</u>	<u>ACI</u>	<u>a</u>
...		

Qualification table for : Advising on <i>Packaged Products</i> (which are not <i>broker funds</i>) and <i>Friendly Society</i> tax-exempt policies - Activity Numbers 4 and 6 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
...		
London Stock Exchange Full Membership Exams (<u>and other regional stock exchanges as merged with London Stock Exchange</u>) – 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	...	
<u>Diploma in Regulated Retirement Advice</u>	<u>Pensions Management Institute</u>	<u>a</u>
...		

Qualification table for : Advising on, and dealing in <i>Securities</i> (which are not <i>stakeholder pension schemes</i> or <i>broker funds</i>) – Activity number 12 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
...		
London Stock Exchange Full Membership Exams (<u>and other regional stock exchanges as merged with London Stock Exchange</u>) – 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
...		
ACI Diploma	ACI	d
<u>ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)</u>	<u>ACI</u>	<u>a</u>
...		

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	...	
<u>CIIA Qualification (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal</u>	<u>Association of Certified International Investment Analysts (ACIIA)</u>	<u>a</u>

taxation)		
...		
Financial Futures and Options paper of the Diploma	The Chartered Institute for Securities & Investment (Formerly the Securities & Investments Institute)	a d
...		
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
...		
ACI Diploma	ACI	d
ACI Diploma (when it is accompanied with appropriate qualification modules covering regulation & ethics, investment principles & risk and personal taxation)	ACI	a
...		

...

Qualification table for : Managing <i>investments</i> or Acting as a <i>Broker fund adviser</i> - Activity Number 14 and 10 in TC Appendix 1.1.1R		
Qualification	Qualification Provider	Key
...		
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)	1
...		
Fellow or Associate by examination (must include Investment Paper E (Syllabus in force until 1998))	Faculty or Institute of Actuaries	1
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	1
...		

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