

**TRAINING AND COMPETENCE SOURCEBOOK (QUALIFICATIONS
AMENDMENTS NO 8) INSTRUMENT 2013**

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 138C (Evidential provisions).
- B. The rule-making powers listed above are specified for the purpose of section 138G (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 26 April 2013.

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 8) Instrument 2013.

By order of the Board
25 April 2013

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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Part 2: Appropriate Qualifications Tables

Qualification provider	Qualification	Activity Number(s)	Key
...
CASS Business School	MSC in Banking and International Finance (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)	2, 3, 12, 13	a
	<u>MSC in Investment Management pre 2003 syllabus (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)</u>	<u>2, 3, 12, 13</u>	<u>b</u>
CFA Institute and the CFA Society of the UK	<u>Level 1 of CFA Program (Level 1) plus Investment Management Certificate (Level 4) certificate (post 2010 exam standards)</u>	2, 3, 12, 13	a
	<u>Completion of CFA Program plus Unit 1 of the Investment Management Certificate Unit 1: The investment environment (Level 4) certificate (post 2010 exam standards)</u>		
	<u>Holder of Associate qualification (associate member)</u>	2, 3, 12, 13	b
	<u>Level 1 of CFA Program (Level 1) plus Investment Management Certificate (Level 3) (pre 2010 exam standards)</u>		
	<u>Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) of the Investment Management Certificate (pre 2010 exam standards)</u>		
	<u>Holder of Associate qualification (Fellow) by examination</u>	14 and 10	2
	CFA Program (Level 1)		
	Fellow or Associate by examination		
		8	1
		14 and 10	
	15, 16, 17, 18, 19	4	
	<u>Investment Management Certificate (Level 3 or 4) Asset Allocation Qualification</u>	14 and 10	2
	Investment Regulation and Practice Paper of the Associate Examination	15, 16, 17	5
CFA Society of UK (Formerly the UK Society of Investment Professionals/Institute of Investment Management and Research (IIMR))	<u>Investment Management Certificate (Level 4) certificate (post 2010 exam standards) plus other qualifications that meet specialist standards for advising on securities</u>	2, 12	a
	<u>Investment Management Certificate (Level 4) certificate (post 2010 exam standards) plus other qualifications that meet specialist standards for advising on packaged products</u>	4 and 6	
	<u>Investment Management Certificate (Level 4) certificate (post 2010 exam standards) plus other qualifications that meet specialist standards for advising on derivatives</u>	3, 13	

		8	1
	Investment Management Certificate (Level 3 or 4) (both pre and post 2010 examination standards)	15, 16, 17, 18, 19	4
		15, 16, 17	5
		14 and 10	1
	Investment Practice Paper (Unit 2) Version of Investment Management Certificate (Level 3 or 4) (both pre and post 2010 Appropriate Exam standards)	14 and 10	2
	Investment Practice version of the Investment Management Certificate	8	2
	Investment Management Certificate Unit 1: UK Regulation and Markets (Level 3) or Investment Management Certificate Unit 1: The Investment Environment (Level 4) version of the Investment Management Certificate	8	3
		15, 16, 17, 19	5
		18	6
	Unit 1 – UK Regulation and Markets	14 and 10	3
...
Chartered Institute for Securities and Investment (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)
	Diploma (where candidate holds 3 modules as recommended by the firm)	14 and 10	1
	<u>Diploma in Corporate Finance</u>	<u>8</u>	<u>1</u>

	Investment Operations Certificate – <u>Administration of Settlement & Investments Module</u> (previously known as the Private Client Administration Module)	15, 16, 17	6
...
Chartered Alternative Investment Analyst Association (CAIA)	CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)	2, 12	b
Chartered Insurance Institute	...	4 and 6	b
	...		
	...		
	...		
	Associate (ALIA Dip)		
	<u>Diploma in Financial Planning plus a pass in J12: Securities advice and dealing</u>	<u>14 and 10</u>	<u>1</u>
...
Faculty or Institute of Actuaries

	Fellow or Associate	49	6

	Fellow or Associate	11	1
		16, 17, 18, 19	4
		18, 19	6

...
Pensions Management Institute

	Module 201: Providing for Retirement	19	4
	...		<u>5</u>

	...		<u>6</u>

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