

**TRAINING AND COMPETENCE SOURCEBOOK (QUALIFICATIONS  
AMENDMENTS NO 9) INSTRUMENT 2013**

**Powers exercised by the Financial Conduct Authority**

- 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 137R (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 July 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 9) Instrument 2013.

By order of the Board of the Financial Conduct Authority  
25 July 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

...

## Part 2: Appropriate Qualifications Tables

Qualification provider	Qualification	Activity Number(s)	Key
...	...	...	...
CFA Institute and the CFA Society of the UK	...	...	...
	Investment Management Certificate (Level 3 or 4) <u>Asset Allocation Qualification</u>	14 and 10	2
	...	...	...
...	...	...	...
Chartered Institute for Securities and Investment (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)	...	...	...
	Certificate in Investment Management (Level 3, <u>pre 31 December 2013</u> )	8	1
		15, 16, 17, 19	4
		15, 16, 17	5
		14 and 10	1
	Certificate in Investment Management (Level 4)	<u>14 and 10</u>	<u>1</u>
	...	...	...
	Investment Operations Certificate – FSA <u>UK</u> Financial Regulation Module	...	...
		...	...
		...	...
	...	...	...
	Principles of <u>UK</u> Financial Regulation	...	...
		...	...
...	...	...	
Unit 6 - Principles of <u>UK</u> Financial Regulation	...	...	
	...	...	
Chartered Insurance Institute	...	...	...
	Diploma in Financial Planning plus a pass in J12: Securities advice and dealing	<del>14 and 10</del> <u>2, 12</u>	<del>4</del> <u>a</u>
	...	...	...
	CF1 - UK financial services, regulation and ethics	<u>15, 16, 17, 18, 19</u>	4
		<u>15, 16, 17, 18, 19</u>	5
	<u>RO1 Paper: Regulation and Ethics</u>	<u>15, 16, 17, 18, 19</u>	<u>4</u>
			<u>5</u>
	...	...	...
	...	...	...
	Pensions law, taxation and administration paper (740) from the Associateship	...	...
<u>Certificate in Investment Operations: Collective Investment Scheme Administration paper (FA4)</u>	<u>15, 16, 17</u>	<u>6</u>	
<u>Certificate in Investment Operations: Individual Savings Account Administration paper (FA5)</u>	<u>16, 17</u>	<u>6</u>	
<u>Certificate in Investment Operations: Investment Client Servicing paper (FA6)</u>	<u>15, 16, 17</u>	<u>6</u>	

	...	...	...
<u>Deutsche Boerse AG</u>	<u>Certified Securities Trader (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)</u>	<u>2, 12</u>	<u>b</u>
<u>Deutsche Boerse AG and SIX Swiss Exchange</u>	<u>Certified Derivatives Trader (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)</u>	<u>2, 12</u>	<u>b</u>
		<u>3, 13</u>	<u>a</u>
...	...	...	...