

TRAINING AND COMPETENCE SOURCEBOOK (ACCREDITED BODIES AND QUALIFICATIONS AMENDMENTS NO 10) INSTRUMENT 2014

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(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 1 February 2014.

Amendments to the FCA Handbook

- D. The Glossary of definitions is amended in accordance with Annex A to this instrument.
- E. The Training and Competence sourcebook (TC) is amended in accordance with Annex B to this instrument.

Citation

- F. This instrument may be cited as the Training and Competence Sourcebook (Accredited Bodies and Qualifications Amendments No 10) Instrument 2014.

By order of the Board of the Financial Conduct Authority
30 January 2014

Annex A**Amendments to the Glossary of definitions**

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

accredited body

any of the following bodies recognised by the *FCA* for the purpose of providing the independent verification required under *TC 2.1.27R*:

- (a) CFA Society of the UK;
- (b) The Chartered Insurance Institute;
- (c) The Institute of Financial Planning;
- (d) The Chartered Institute for Securities and Investment;
- (e) The Chartered Institute of Bankers in Scotland;
- (f) The ~~ifs School of Finance~~ University College; [Note: The ~~ifs School of Finance~~ University College acts through its Institute of Financial Services]
- (g) The Institute of Chartered Accountants in England and Wales;
- (h) The Pensions Management Institute.

Annex B

Amendments to the Training and Competence sourcebook (TC)

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

Appendix 4.1.1E Appropriate Qualification tables

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Part 2: Appropriate Qualifications Tables

Qualification provider	Qualification	Activity Number(s)	Key
...
Calibrand / Scottish Qualifications Authority
	Diploma in Professional Financial Advice (NMBA - Alternative Assessment method)		
<u>Canadian Securities Institute</u>	<u>Canadian Securities Course (CSC) and Conduct and Practices Handbook Course (CPH) – must include a pass in both modules (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation) - both courses must be completed</u>	<u>2, 12</u>	<u>b</u>
	<u>Canadian Securities Course (CSC), Conduct and Practices Handbook (CPH), the Futures Licensing Course (FLC), the Derivatives Fundamentals Course (DCF) and the Options Licensing Course (OLC) – must include a pass in all modules (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation) - all courses must be completed</u>	<u>3, 13</u>	<u>b</u>
	<u>Canadian Securities Course (CSC), Conduct and Practices Handbook (CPH), the Futures Licensing Course (FLC) and the Derivatives Fundamentals and Options Licensing Course (DFOL) – must include a pass in all modules (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation) - all courses must be completed</u>		
...
Chartered Institute for Securities and Investment (CISI) – (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)	...		
	Diploma in Corporate Finance (awarded jointly with <u>The Institute of Chartered Accountants in England and Wales</u>)	8	1
...
Chartered Insurance Institute	...		
	Certificate in Investment Operations: Individual Savings Account Administration paper (FA5)	<u>15</u> 16, 17	6
...
Deutsche Boerse AG and SIX Swiss Exchange	Certified Derivatives Trader (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)	2, 12	b
		3, 13	a
...

Financial & Legal Skills Partnership (formerly the Financial Skills Partnership/ Financial Skills Council (FSP/FSSC))	FSSC <u>FLSP Advanced Apprenticeship in Advising on Financial Products (Long Term Care Insurance Pathway)</u>	7	1
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Investment Administration or Operations Pathway including either Asset Servicing/CREST Settlement/Global Securities or ISA and CTF Administration)</u>	17	6
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Investment Administration or Operations Pathway including FSA Regulatory Environment or Principles of Financial Regulation)</u>	17	5
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Investment Administration or Operations Pathway including the Introduction to Securities and Investment module)</u>	17	4
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Long Term Insurance or Life, Pensions and Investments or Pensions Administration Pathway including CF1)</u>	18	4
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Long Term Insurance or Life, Pensions and Investments or Pensions Administration Pathway including CF1)</u>	18	5
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Long Term Insurance or Life, Pensions and Investments or Pensions Administration Pathway including CF1 and either FA1 or FA2)</u>	18	6
	FSSC <u>FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Long Term Care Insurance or Life, Pensions and Investments or Pensions Administration Pathway including CF1 and FA2)</u>	19	1
	FSSC <u>FLSP Level 3 Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway) or Level 3 Advanced Apprenticeship in Providing Mortgage Advice</u>	20	1
...			
ifs School of Finance University College (formerly the ifs School of Finance/Chartered Institute of Bankers)
...			
Institute of Chartered Accountants in England and Wales	...		
	Initial Test of Competence	18,19	6
	Diploma in in Corporate Finance (awarded jointly with The Institute of Chartered Accountants in England and Wales)	8	2
...			
Sheffield Hallam University	...	4 and 6	b
	Post Graduate in Financial Services (1995 to 2001)		
SIX Swiss Exchange	Certified Securities Trader the Swiss Markets Insight course (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)	2, 12	b
...			