

**TRAINING AND COMPETENCE SOURCEBOOK (QUALIFICATIONS  
AMENDMENTS NO 11) 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 26 September 2014.

**Amendments to the FCA 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 11) Instrument 2014.

By order of the Board of the Financial Conduct Authority  
25 September 2014

## Annex

## 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 Qualification Tables

| Qualification provider                                                                                                                                    | Qualification                                                                                                         | Activity Number(s)       | Key      |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|--------------------------|----------|
| ...                                                                                                                                                       |                                                                                                                       |                          |          |
| Association of Corporate Treasurers                                                                                                                       | <del>Fellow or Associate MCT Advanced Diploma (Member or Fellow) or AMCT Diploma in Treasury (Associate Member)</del> | 15,16,17,18, 19          | 4        |
| ...                                                                                                                                                       |                                                                                                                       |                          |          |
| CASS Business School                                                                                                                                      | ...                                                                                                                   |                          |          |
| <u>CFA Institute</u>                                                                                                                                      | <u>Claritas Investment Certificate</u>                                                                                | <u>15, 16, 17,18, 19</u> | <u>4</u> |
| ...                                                                                                                                                       |                                                                                                                       |                          |          |
| Chartered Institute for Securities and Investments (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association) | ...                                                                                                                   |                          |          |
|                                                                                                                                                           | Investment Administration Qualification – ISA and CTF Administration Module                                           | <u>15, 16,17</u>         | 6        |
|                                                                                                                                                           | ...                                                                                                                   |                          |          |
| Chartered Insurance Institute                                                                                                                             | <u>Certificate in Advanced Mortgage Advice</u>                                                                        | <u>20</u>                | <u>1</u> |
|                                                                                                                                                           | Certificate in Securities Advice and Dealing                                                                          | 2, 12                    | a        |
|                                                                                                                                                           | <u>Diploma in Financial Planning (with appropriate gap fill) plus the Award in Long Term Care Insurance</u>           | <u>7</u>                 | <u>1</u> |
|                                                                                                                                                           | ...                                                                                                                   |                          |          |
|                                                                                                                                                           | Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)                           | 4, 6                     | a        |
|                                                                                                                                                           | <u>Diploma in Regulated Financial Planning plus the Award in Long Term Care Insurance</u>                             | <u>7</u>                 | <u>1</u> |
| ...                                                                                                                                                       |                                                                                                                       |                          |          |

|                                                                                                       |                                                                                                |                |          |
|-------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------|----------------|----------|
| ifs University College<br>(formerly the ifs School of<br>Finance / Chartered<br>Institute of Bankers) | Diploma for Financial Advisers (post 2010 examination standards)                               | 4 and 6        | a        |
|                                                                                                       | ...                                                                                            |                |          |
|                                                                                                       | <u>Level 6 Diploma in Financial Advice (Adv Dipfa)</u>                                         | <u>4 and 6</u> | <u>a</u> |
|                                                                                                       | ...                                                                                            |                |          |
|                                                                                                       | Certificate for Financial Advisers and Certificate in Long-term Care Insurance                 | 7              | 1        |
|                                                                                                       | <u>Pension Transfers plus Diploma for Financial Advisers (DipFA®) post 2010 exam standards</u> | <u>11</u>      | <u>1</u> |
|                                                                                                       | ...                                                                                            |                |          |
| ...                                                                                                   |                                                                                                |                |          |
| The Securities Analysts Association of Japan (SAAJ)                                                   | ...                                                                                            |                |          |
| <u>University of Northampton</u>                                                                      | <u>BSc Banking and Financial Planning</u>                                                      | <u>4, 6</u>    | <u>a</u> |
| ...                                                                                                   |                                                                                                |                |          |