

**TRAINING AND COMPETENCE SOURCEBOOK (AMENDMENT) INSTRUMENT  
2024**

**Powers exercised**

- A. The Financial Conduct Authority (“the FCA”) makes this instrument in the exercise of the following powers and related provisions of 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 24 May 2024.

**Amendments to the Handbook**

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

**Notes**

- E. In the Annex to this instrument, the notes (indicated by “**Note:**” or “*Editor’s note:*”) are included for the convenience of readers but do not form part of the legislative text.

**Citation**

- F. This instrument may be cited as the Training and Competence Sourcebook (Amendment) Instrument 2024.

By order of the Board  
23 May 2024

**Annex**

**Amendments to the Training and Competence sourcebook (TC)**

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

**App 4 Appropriate Qualification tables**

**App 4.1 Appropriate Qualification tables**

TC App 4.1 is relevant to TC 2.1.10E (selecting an appropriate qualification).

...

Extent to which the qualification meets the qualification requirement in relation to non-RDR activities

...

**App E Part 2: Appropriate Qualifications Tables**

4.1.1D

**Note:** A qualification is deemed an appropriate qualification if it appears in this table and is attained within the relevant time period, where one is indicated by the dates set out in the qualification column.

[*Editor’s note:* The qualification listings in ‘Part 2: Appropriate Qualifications Tables’ are now divided into ‘Part 2A: Appropriate Qualifications offered’ or ‘Part 2B: Appropriate Qualifications no longer offered’.

Where the text in the ‘Qualification’ column below is struck through in its entirety, the relevant qualification is moved to the new Part 2B, along with the corresponding text in the other columns of the table (regardless of whether that text is struck through).

Where the text in the ‘Qualification’ column is not struck through in its entirety, the qualification remains in Part 2A. Of the text that remains in Part 2A, amendments are indicated below where striking through indicates deleted text and underling indicates new text.]

Part 2A: Appropriate Qualifications offered

Qualification provider	Qualification	Activity Number(s)	Key
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ACI The Financial Markets Association	...		
	ACI Dealing Certificate when combined with Chartered Institute of Securities and Investment (CISI) Introduction to Securities and Investments and one of the Regulatory units of the Investment Operations Certificate (IOC)	15, 17	4
	ACI Operations Certificate when combined with Chartered Institute of Securities and Investment (CISI) Introduction to Securities and Investments and one of the Regulatory units of the Investment Operations Certificate (IOC)		
	<u>ACI FX Global Code Exams</u>	<u>10 and 14</u>	<u>4</u>
		<u>15, 16, 17, 18, 19</u>	<u>4</u>
...			
Association of International Wealth Management (AIWM)	...	...	...
<u>Bayes Business School (Formerly CASS Business School)</u>	<u>MSC in Banking and International Finance (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)</u>	<u>2, 3, 12, 13</u>	<u>a</u>
<del>Blackburn College University Centre</del>	<del>Foundation Degree Award in Financial Services (syllabus in force until 31 October 2017)</del>	<del>4 and 6</del>	<del>a</del>

Bournemouth University	BA in Financial Services (1995 to 2001)	4 and 6	b
	MA in Financial Services (1995 to 2001)		
	Post Graduate in Financial Services (1995 to 2001)		
Calibrand / Chartered Banker Institute (Formerly the Chartered Institute of Bankers in Scotland)	Diploma in Professional Financial Advice (Post 30/4/2014) and Pre 01/03/2022)	4 and 6	a
Calibrand / Scottish Qualifications Authority	Diploma in Professional Financial Advice (Pre 1/8/2018)	4 and 6	a
	Diploma in Professional Financial Advice (NMBA - Alternative Assessment method)		
...			
[Editor's note: the qualification below remains in Part 2A. It has been re-alphabetised in line with the new name of the qualification provider.]			
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
	MSC in Investment Management pre 2003 syllabus (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)		

...			
Chartered Banker Institute (Formerly the Chartered Institute of Bankers in Scotland)	<del>Diploma in Investment Planning (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)</del>	4 and 6	a
	<del>Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)</del>		
	<del>Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)</del>		
	<del>Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)</del>		
	<del>Diploma in investment planning (work based assessment)(Pre 1/6/2015)</del>		
Chartered Banker Institute (Formerly the Chartered Institute of Bankers in Scotland)	Associate (March 1992 to July 1994 syllabus (including top up test))	4 and 6	b
	Associate (post August 1994 syllabus)		
	Certificate in Investment Planning (Pre 17/09/2004)		
	Chartered Banker (where candidates hold UK Financial Services and Investment modules)		

	Diploma in Investment Planning (current)		
	<del>Associateship (must include a pass in the Investment Paper)</del>	<del>2, 3, 12, 13</del>	<del>b</del>
	<del>Certificate in Investment Planning – Paper 1</del>	<del>15, 16, 18, 19</del>	<del>4</del>
		<del>15, 16, 17, 18, 19</del>	<del>5</del>
	...		
	<del>Member or Associate</del>	<del>15, 16, 17, 18, 19</del>	<del>4</del>
	<del>Mortgage Advice and Practice Certificate</del>	<del>20</del>	<del>4</del>
	<del>Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004)</del>	<del>20, 21, 22</del>	<del>4</del>
	<del>MAPC bridge paper plus entry requirements (Pre 31/10/2004)</del>	<del>20</del>	<del>4</del>
	<del>Certificate in Investment Planning – Paper 1 (Pre 16/09/2004)</del>	<del>20, 21, 22</del>	<del>3</del>
	<del>MAPC – Paper 1 (Pre 16/09/2004)</del>	<del>20</del>	<del>3</del>
	<del>Mortgage Advice and Practice Certificate – Paper 1 (Post 17/09/2004)</del>	<del>20, 21</del>	<del>3</del>
	<del>Equity Release Mortgage Advice and Practice Certificate (ERMPC)</del>	<del>21, 22</del>	<del>4</del>

	<del>Lifetime Mortgage Advice and Practice Certificate</del>		
	<del>MAPC Bridge paper plus entry requirements (Pre 16/09/2004)</del>		
	<del>Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004) – Paper 1</del>	<del>21, 22</del>	<del>3</del>
	<del>Equity Release Mortgage Advice and Practice Certificate (ERMAPC)</del>	<del>23</del>	<del>4</del>
		<del>23</del>	<del>5</del>
		<del>23</del>	<del>6</del>
	...		
...			
Chartered Institute for Securities and Investment (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)	...		
	Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)	4 and 6	a
	...		
	Investment Advice Diploma (where candidate holds 3 modules including the securities module)	2, 12	
	[Editors note: the qualification below remains in Part 2A. It has been renamed as set out below.]		

	<u>Masters in Wealth Management (Post 2010 examination standards)</u>	2, 3, 4 and 6, 12, 13	
	<u>CISI Level 7 Diploma in Wealth Management (also known as the Chartered Wealth Manager Qualification) (Formerly known as Masters in Wealth Management (Post 2010 examination standards))</u>		
	...		
	<u>Diploma (where candidate holds 3 modules as recommended by the firm)</u>	<u>2, 3, 4 and 6, 12-13</u>	<u>b</u>
	<u>Investment Advice Certificate</u>	<u>2, 3, 4 and 6, 12, 13</u>	<u>b</u>
	<u>Masters in Wealth Management (Pre 2010 examination standards)</u>	<u>2, 3, 4 and 6, 12, 13</u>	<u>b</u>
	...		
	<u>Certificate in Corporate Finance</u>	<u>8</u>	<u>4</u>
		<u>15, 16, 17, 18, 19</u>	<u>4</u>
	<u>Certificate in Corporate Finance (Post 31/03/2024)</u>	<u>8</u>	<u>1</u>
	<u>Certificate in Derivatives – Paper 2</u>	<u>15, 16, 17, 18, 19</u>	<u>4</u>



...		
<b>Certificate in Investment Management (Level 3, pre 31 December 2013)</b>	8	4
	15, 16, 17, 19	4
	15, 16, 17	5
	14 and 10	4
...		
<b>Certificate in Investment Management – Paper 2</b>	8	2
	14 and 10	
<b>Certificate in Securities</b>	8	4
<b>Certificate in Securities – Paper 2</b>	15, 16, 17, 18, 19	4
<b>Certificate in Securities and Derivatives – Paper 2</b>	19	4
...		
<b>Diploma</b>	15, 16, 17, 18, 19	4
...		
<b>Diploma – Global Operations Management Module</b>	15, 16, 17, 18, 19	4
	15, 16, 17	5
		6

	<u>Global Operations Management Module (Post 31/03/2024)</u>	<u>16</u>	<u>6</u>
	...		
	<del>Diploma (must include a pass in Regulation and Compliance Paper)</del>	8	4
	<del>Diploma (where candidate holds 3 modules as recommended by the firm)</del>	14 and 10	4
	<del>Diploma in Corporate Finance (awarded jointly joint programme with The Institute of Chartered Accountants in England and Wales)</del>	8	1
	...		
	<del>Investment Advice Certificate</del>	14 and 10	4
	<del>Investment Advice Certificate – Paper 1</del>	15, 16, 17, 18, 19	4
			5
	<del>Investment Advice Certificate – Paper 1 (No new registrations)</del>	20, 21, 22	3
	<del>Investment Advice Certificate – Paper 2</del>	18, 19	6
	...		

<del>Investment Operations Certificate – Asset Servicing Module</del>	<del>15, 16, 17</del>	<del>6</del>
<u>Investment Operations Certificate - Asset Servicing Module (Post 31/03/2024)</u>	<u>16</u>	<u>6</u>
...		
<del>Investment Operations Certificate – Collective Investment Schemes Administration Module</del>	<del>15, 16, 17</del>	<del>6</del>
<u>Investment Operations Certificate - Collective Investment Schemes Administration Module (Post 31/03/2024)</u>	<u>15</u>	<u>6</u>
...		
<del>Investment Operations Certificate – Global Securities Operations Module</del>	<del>17</del>	<del>6</del>
<del>Investment Operations Certificate – Global Securities Operations Module</del>	<del>16</del>	<del>6</del>
...		
<del>Investment Operations Certificate – Operational Risk Module</del>	<del>15, 16, 17</del>	<del>6</del>
...		

	<del>Investment Operations Certificate - Platforms, Wealth Management and Service Providers</del>	<del>15, 16</del>	<del>6</del>
	<u>Investment Operations Certificate - Platforms, Wealth Management and Service Providers (Post 31/03/2024)</u>	<u>16</u>	<u>6</u>
	...		
	<del>Level 3 Certificate in Investments (Derivatives) - Unit 3</del>	<del>15, 16, 17, 18, 19</del>	<del>4</del>
	...		
	<del>Level 3 Certificate in Investments (Securities)</del>	<del>8</del>	<del>1</del>
	<del>Level 3 Certificate in Investments (Securities) - Unit 2</del>	<del>15, 16, 17, 18, 19</del>	<del>4</del>
	...		
	[Editor's note: the qualification below remains in Part 2A. It has been renamed as set out below.]		
	<del>Masters in Wealth Management</del> <u>CISI Level 7 Diploma in Wealth Management (also known as the Chartered Wealth Manager Qualification) (formerly known as Masters in Wealth Management)</u>	14 and 10	1

	...		
Chartered Insurance Institute	...		
	Certificate in Pension Transfer Advice (meets requirement until 30 September <del>2020</del> 2021) (Post 30/09/2021 meets requirement when combined with an RDR compliant qualification for Activities 4 and 6)	11	1
	Certificate in Securities Advice and Dealing (also known as Diploma in Regulated Financial Planning plus Unit J12)	2, 12	a
	...		
	Diploma in Financial Planning (together with the appropriate gap fill offered at the time pre 31/08/2021) plus the Award in Long Term Care Insurance (Unit CF8)	7	1
	Diploma in Financial Planning ( <del>subject to</del> together with the appropriate gap fill offered at the time pre 01/09/2021) + plus AF7 Pension Transfers	11	1
	Diploma in Regulated Financial Planning	4 and 6	a
	<del>Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)</del>		

	Diploma in Regulated Financial Planning plus the Award in Long Term Care Insurance ( <u>Unit CF8</u> )	7	1
	<del>Fellow or Associate (life and pensions route only)</del>	<del>2, 3, 12, 13</del>	<del>b</del>
	<del>Advanced Financial Planning Certificate</del>	<del>2, 3, 4 and 6, 12, 13</del>	<del>b</del>
	Diploma in Financial Planning	4 and 6	b
	<del>Fellow (FCH) (where candidates hold appropriate life and pensions modules)</del>		
	<del>Fellow (FLIA Dip)</del>		
	<del>Advanced Diploma in Financial Planning</del>		
	<del>Associate (ACH) (where candidate holds appropriate life and pension modules)</del>		
	<del>Associate (ALIA Dip)</del>		
	...		
	Certificate in Financial Planning plus the Award in Long Term Care Insurance	7	1
	G80 paper of Advanced Financial Planning Certificate (October 2004 <u>sitting only</u> ) <u>plus appropriate exam requirements for TC 2.1.4R(1)(f) together with the Award in Long Term Care Insurance (Unit CF8)</u>		

	(formerly the appropriate exam requirements for TC 2.1.4R(1)(f))		
	<del>G70 Paper of the Advanced Financial Planning Certificate</del>	<del>8</del>	<del>4</del>
	...		
	Until 30 September 2020 2021, Fellow or Associate including three pensions-related subjects as confirmed by the examining body. From 1 October 2020 2021, only when combined with an RDR compliant qualification for Activities 4 and 6.	11	1
	Until 30 September 2020 2021, G60 paper of Advanced Financial Planning Certificate. From 1 October 2020 2021, only when combined with an RDR compliant qualification for Activities 4 and 6.		
	Until 30 September 2020 2021, Unit AF3 of the Advanced Diploma in Financial Planning. From 1 October 2020 2021, only when combined with an RDR compliant qualification for Activities 4 and 6.		
	<del>Certificate of Insurance Practice</del>	<del>18</del>	<del>4</del>
	Certificate of Insurance Practice (life or pensions route)	18	6

FA1 - Life office administration <u>unit</u>		
<del>Fellow or Associate (life and pensions route only)</del>		
<del>Life assurance paper (735) from the Associateship</del>		
<del>Certificate of Insurance Practice (Pensions route)</del>	<del>19</del>	<del>6</del>
<del>Fellow or Associate (Pensions route)</del>		
...		
<del>Certificate in Equity Release (Formerly known as Certificate in Financial Planning and Lifetime Mortgages)</del>	<del>21, 22</del>	<del>1</del>
	<del>23</del>	<del>4</del>
		<del>5</del>
		<del>6</del>
<u>Certificate in Equity Release (Post 01/05/2007)</u>	<u>21, 22, 23</u>	<u>1</u>
<del>Advanced Financial Planning Certificate (must include a pass in G70 paper)</del>	14 and 10	1
<del>Certificate in Discretionary Investment Management</del>		
<del>Fellow or Associate</del>	<del>15, 16, 17, 18, 19</del>	<del>4</del>



	Financial Planning Certificate – Paper 1	15, 16, 17, 18, 19	4
		15, 16, 17, 18, 19	5
	...		
	FA2 - Pensions administration paper <u>unit</u>	18, 19	6
	Financial Planning Certificate – Paper 2		
	...		
	Pensions law, taxation and administration paper (740) from the Associateship	18, 19	6
	Certificate in Investment Operations: Collective Investment Scheme Administration paper (FA4)	15, 16, 17	6
	...		
	Certificate in Investment Operations: Investment Client Servicing paper (FA6)	15, 16, 17	6
	...		
	Mortgage Advice Qualification (MAQ) plus entry requirements	20, 21, 22	1
Financial Planning Certificate – Paper 1 (No new registrations after 17/12/2004)	20, 21, 22	3	
...			

Faculty or Institute of Actuaries	...		
	Associate—achieved by examination passed before 1 December 2001 (must include a pass in Subject 301—Investment and Asset Management (syllabus in force from 1998))	14 and 10	1
	...		
	Fellow or Associate by examination (must include Investment Paper E (Syllabus in force until 1998))	14 and 10	1
	...		
...			
Financial & Legal Skills Partnership (formerly the Financial Skills Partnership/Financial Services Skills Council (FSP/ FSSC))	FLSP Advanced/Modern Apprenticeship in Advising on Financial Products (Long Term Care Insurance Pathway)	7	1
	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)	17	6
	FLSP Level 3 Advanced/Modern Apprenticeship in Retail or Providing Financial Services (Investment Administration	17	5

	<del>or Operations Pathway including FSA Regulatory Environment or Principles of Financial Regulation)</del>		
	<del>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)</del>	<del>17</del>	<del>4</del>
	<del>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)</del>	<del>18</del>	<del>4</del>
	<del>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)</del>	<del>18</del>	<del>5</del>
	<del>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)</del>	<del>18</del>	<del>6</del>
	<del>FLSP Level 3 Advanced/ Modern Apprenticeship in Retail or Providing Financial</del>	<del>19</del>	<del>1</del>

	<del>Services (Long Term Insurance or Life, Pensions and Investments or Pensions Administration Pathway including CF1 and FA2)</del>		
	<del>FLSP Level 3 Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway) or Level 3 Advanced Apprenticeship in Providing Mortgage Advice</del>	<del>20</del>	<del>1</del>
ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	...		
	<del>Operations Certificate Programme (OCP)</del>	<del>16, 17</del>	<del>6</del>
...			
Institute of Financial Planning (until 1 November 2015)	<del>Certified Financial Planner (syllabus in force until 31 October 2015)</del>	4 and 6	b
	<del>Fellowship (syllabus in force until 31 October 2015)</del>		
Insurance Sector Education and Training Authority	...	...	...
<u>International Capital Markets Association (ICMA)</u>	<u>Operations Certificate Programme (OCP)</u>	<u>16, 17</u>	<u>6</u>
<u>Investment Management Association</u>	<u>Investment Administration Management Award</u>	<u>15, 16, 17</u>	<u>6</u>
...			
	<del>Registered Representative of Public Securities</del>	<del>8</del>	<del>2</del>

Japanese Bankers Association	Examination (pre April 1990)		
	Representative of Public Securities Qualification - Class 1		
Japanese Japan Securities Dealers Association	<u>Class -1 Sales Representative Qualification (formerly known as the Representative of Public Securities Qualification - Type 1)</u>	<u>8</u>	<u>2</u>
	Representative of Public Securities Qualification - Type 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation	2, 3, 12, 13	b
	<del>Representative of Public Securities Examination (pre April 1990)</del>	8	2
	Representative of Public Securities Qualification - Type 1		
...			
Lloyd's	Lloyd's and London Market Introductory Test (Formerly the Lloyd's Introductory Test)	9	1
...			
Sheffield Hallam University	BA in Financial Services (1995 to 2001)	4 and 6	b
	MA in Financial Services (1995 to 2001)		

	<b>Post Graduate in Financial Services (1995 to 2001)</b>		
...			
<b>The Institute of Banking in Ireland (Formerly the Chartered Institute of Bankers in Ireland)</b>	...	...	...
<b>The London Institute of Banking &amp; Finance Limited</b> (From 1 April 2023) Until 31 March 2023, the qualifications were provided by The London Institute of Banking & Finance (formerly the ifs University College and the ifs School of Finance/Chartered Institute of Bankers)	...		
	<b>Diploma for Financial Advisers (pre 2010 examination standards)</b>	4 and 6	b
	<b>Professional Investment Certificate</b>		
	...		
	<b>Certificate for Financial Advisers – Paper 1 (Pre 31/10/2004)</b>	15, 16, 17, 18, 19	4
			5
		20, 21, 22	3
	...		
	<b>Certificate for Financial Advisers – Paper 2 (Pre 31/10/2004)</b>	18, 19	6
	...		
	<b>CeMAP bridge paper plus entry requirements (Pre 31/10/2004)</b>	21, 22	4
	<b>Certificate in Mortgage Advice and Practice</b>	20, 21	3

	<del>(CeMAP) (Pre 31/10/2004) – Paper 1</del>		
	...		
	<del>Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)</del>	20, 21, 22	†
	...		
The Securities Analysts Association of Japan (SAAJ)	<del>CMA Level 2 (for individuals advising before 30 June 2009)</del>	2, 3, 12, 13	b
	CMA Level 2 (for individuals not advising before 30 June 2009 - provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)		
	...		
...			
University of the West of England	<del>BA in Financial Services (1995 to 2001)</del>	4 and 6	b
	<del>MA in Financial Services (1995 to 2001)</del>		
	<del>Post Graduate in Financial Services (1995 to 2001)</del>		

[*Editor's note:* The following text re-states, in alphabetical order, the qualification listings that are moved from 'Part 2: Appropriate Qualifications Tables' to the new 'Part 2B: Appropriate Qualifications no longer offered' as set out above. The re-stated text is not underlined, but amendments to that re-stated text are shown below where striking through indicates deleted text and underlining indicates new text.]

## Part 2B: Appropriate Qualifications no longer offered

Qualification provider	Qualification	Activity Number(s)	Key
<del>CASS Business School</del> <u>Bayes Business School</u> (Formerly CASS Business School)	MSC in Investment Management pre 2003 syllabus (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)	2, 3, 12, 13	b
Blackburn College - University Centre	Foundation Degree Award in Financial Services (syllabus in force until 31 October 2017)	4 and 6	a
Bournemouth University	BA in Financial Services (1995 to 2001)	4 and 6	b
	MA in Financial Services (1995 to 2001)		
	Post Graduate in Financial Services (1995 to 2001)		
Calibrand / Chartered Banker Institute (Formerly the Chartered Institute of Bankers in Scotland)	Diploma in Professional Financial Advice (Post 30/4/2014) and Pre 01/03/2022)	4 and 6	a
Calibrand / Scottish Qualifications Authority	Diploma in Professional Financial Advice (Pre 1/8/2018)	4 and 6	a
Chartered Banker Institute (Formerly the Chartered Institute of Bankers in Scotland)	Associate (March 1992 to July 1994 syllabus (including top-up test))	4 and 6	b
	Associate (post August 1994 syllabus) ( <u>Pre February 2001</u> )	4 and 6	b
	Associateship - (must include a pass in the Investment Paper) ( <u>Pre March 2012</u> )	2, 3, 12, 13	b



	Certificate in Investment Planning (Pre 17/09/2004)	4 and 6	b
	Certificate in Investment Planning - Paper 1 (Pre 16/09/2004)	20, 21, 22	3
	Certificate in Investment Planning - Paper 1 ( <u>Pre February 2010</u> )	15, 16, 18, 19	4
		15, 16, 17, 18, 19	5
	Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004)	20, 21, 22	1
	Certificate in Mortgage Advice and Practice (MAPC) (Pre 16/09/2004) - Paper 1	21, 22	3
	Chartered Banker (where candidates hold UK Financial Services and Investment modules) ( <u>Pre March 2012</u> )	4 and 6	b
	Diploma in Investment Planning (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	4 and 6	a
	Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)	4 and 6	a
	Diploma in Investment Planning ( <del>current</del> ) ( <u>Pre 1/6/2015</u> )	4 and 6	b
	Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)	4 and 6	a

	Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	4 and 6	a
	Diploma in investment planning (work based assessment) (Pre 1/6/2015)	4 and 6	a
	Equity Release Mortgage Advice and Practice Certificate (ERMAPC) ( <u>Pre August 2012</u> )	21, 22	1
	Equity Release Mortgage Advice and Practice Certificate (ERMAPC) ( <u>Pre August 2012</u> )	23	4
		23	5
		23	6
	Lifetime Mortgage Advice and Practice Certificate ( <u>Pre January 2013</u> )	21, 22	1
	MAPC bridge paper plus entry requirements (Pre 31/10/2004)	20	1
	MAPC Bridge paper plus entry requirements (Pre 16/09/2004)	21, 22	1
	MAPC - Paper 1 (Pre 16/09/2004)	20	3
	Member or Associate ( <u>Pre February 2010</u> )	15, 16, 17, 18, 19	4
	Mortgage Advice and Practice Certificate ( <u>closed to new entrants in 2018</u> )	20	1
	Mortgage Advice and Practice Certificate - Paper 1 (Post 17/09/2004) ( <u>closed to new entrants in 2018</u> )	20, 21	3

Chartered Institute for Securities and Investment (CISI) - (Formerly the Securities and Investment Institute (SII); formerly The Securities Association)	Certificate in Corporate Finance ( <u>Pre 01/04/2024</u> )	8	1
		15, 16, 17, 18, 19	4
	Certificate in Derivatives - Paper 2 ( <u>Pre 01/04/2024</u> )	15, 16, 17, 18, 19	4
	Certificate in Investment Management (Level 3, Pre 31/12/2013)	8	1
		15, 16, 17, 19	4
		15, 16, 17	5
		14 and 10	1
	Certificate in Investment Management - Paper 2 ( <u>Pre 01/04/2024</u> )	8	2
		14 and 10	
	Certificate in Securities - Paper 2 ( <u>Pre 01/04/2024</u> )	15, 16, 17, 18, 19	4
	Certificate in Securities ( <u>Pre 01/04/2024</u> )	8	1
	Certificate in Securities and Derivatives - Paper 2 ( <u>Pre 01/04/2024</u> )	19	4
	Diploma ( <u>Pre 01/01/2017</u> )	15, 16, 17, 18, 19	4
	Diploma - Global Operations Management Module ( <u>Pre 01/04/2024</u> )	15, 16, 17, 18, 19	4
		15, 16, 17	5
6			
Diploma (must include a pass in Regulation and Compliance Paper) ( <u>Pre 01/01/2017</u> )	8	1	
Diploma (where candidate holds 3 modules as	14 and 10	1	

	recommended by the firm) (Pre 01/01/2017)		
	Diploma (where candidate holds 3 modules as recommended by the firm) (Pre 01/01/2017)	2, 3, 4 and 6, 12 13	b
	Investment Advice Certificate (Pre 17/07/2006)	2, 3, 4 and 6, 12, 13	b
	Investment Advice Certificate (Pre 17/07/2006)	14 and 10	1
	Investment Advice Certificate Paper 1 (Pre 17/07/2006)	15, 16, 17, 18, 19	4 5
	Investment Advice Certificate - Paper 1 ( <del>No new registrations closed to new entrants</del> )	20, 21, 22	3
	Investment Advice Certificate - Paper 2 (Pre 17/07/2006)	18, 19	6
	Investment Operations Certificate - Asset Servicing Module (Pre 01/04/2024)	15, 16, 17	6
	Investment Operations Certificate - Collective Investment Schemes Administration Module (Pre 01/04/2024)	15, 16, 17	6
	Investment Operations Certificate - Global Securities Operations Module (Pre 01/04/2024)	17	6
	Investment Operations Certificate - Global Securities Operations Module (Pre 01/04/2024)	16	6
	Investment Operations Certificate - Operational Risk Module (Pre 01/04/2024)	15, 16, 17	6

	Investment Operations Certificate - Platforms, Wealth Management and Service Providers ( <u>Pre 01/04/2024</u> )	15, 16	6
	Level 3 Certificate in Investments (Derivatives) - Unit 3 ( <u>Pre 01/04/2024</u> )	15, 16, 17, 18, 19	4
	Level 3 Certificate in Investments (Securities) ( <u>Pre 01/04/2024</u> )	8	1
	Level 3 Certificate in Investments (Securities) - Unit 2 ( <u>Pre 01/04/2024</u> )	15, 16, 17, 18, 19	4
	Masters in Wealth Management (Pre 2010 examination standards)	2, 3, 4 and 6, 12, 13	b
Chartered Insurance Institute	Advanced Diploma in Financial Planning ( <u>CII gap fill available pre 01/09/2021</u> )	4 and 6	b
	Advanced Financial Planning Certificate (must include a pass in G70 paper) ( <u>Pre 01/01/2007</u> )	14 and 10	1
	Advanced Financial Planning Certificate ( <u>Pre 01/01/2007</u> )	2, 3, 4 and 6, 12, 13	b
	Associate (ACII) (where candidate holds appropriate life and pension modules) ( <u>CII gap fill available pre 01/09/2021</u> )	4 and 6	b
	Associate (ALIA Dip) ( <u>Pre 01/01/2005: CII gap fill available pre 01/09/2021</u> )	4 and 6	b
	Certificate in Equity Release (Formerly known as Certificate in Financial	21, 22	1
23		4	

Planning and Lifetime Mortgages) ( <u>Pre 01/09/2007</u> )		5
		6
Certificate in Financial Planning <del>plus</del> ( <u>offered until 01/09/2015</u> ) together with the Award in Long Term Care Insurance ( <u>Unit CF8</u> )	7	1
Certificate in Investment Operations: Collective Investment Scheme Administration paper (FA4) ( <u>Pre 01/09/2019</u> )	15, 16, 17	6
Certificate in Investment Operations: Investment Client Servicing paper (FA6) ( <u>Pre 01/09/2019</u> )	15, 16, 17	6
Certificate of Insurance Practice (life or pensions route) ( <u>Pre 01/01/2004</u> )	18	6
Certificate of Insurance Practice (Pensions route) ( <u>Pre 01/01/1998</u> )	19	6
Certificate of Insurance Practice ( <u>Pre 01/01/2004</u> )	18	4
Diploma in Financial Planning ( <u>CII gap fill available pre 01/09/2021</u> )	4 and 6	b
Diploma in Regulated Financial Planning (attained through a CII alternative assessment day) ( <u>Pre 29/01/2011</u> )	4 and 6	a
Fellow (FCII) (where candidates hold appropriate life and pensions modules) ( <u>CII gap fill available pre 01/09/2021</u> )	4 and 6	b
Fellow (FLIA Dip) ( <u>Pre 01/01/2005</u> )	4 and 6	b

	Fellow or Associate (life and pensions route only) <u>(Pre 01/01/1992)</u>	2, 3, 12, 13	b
	Fellow or Associate (life and pensions route only) <u>(Pre 01/01/1992)</u>	18	6
	Fellow or Associate (Pensions route) <u>(Pre 01/01/1992)</u>	19	6
	Fellow or Associate <u>(Pre 01/01/2007)</u>	15, 16, 17, 18, 19	4
	Financial Planning Certificate - Paper 1 <u>(Pre 01/08/2005)</u>	15, 16, 17, 18, 19	4
		15, 16, 17, 18, 19	5
	Financial Planning Certificate - Paper 1 <del>(No new registrations after 17/12/2004)</del> <u>(Pre 01/08/2005)</u>	20, 21, 22	3
	Financial Planning Certificate - Paper 2 <u>(Pre 01/08/2005)</u>	18, 19	6
	G70 Paper of the Advanced Financial Planning Certificate <u>(Pre 01/01/2007)</u>	8	1
	Life assurance paper (735) from the Associateship <u>(Pre 01/11/2012)</u>	18	6
	Mortgage Advice Qualification (MAQ) plus entry requirements <u>(Pre 01/01/2005)</u>	20, 21, 22	1
	Pensions law, taxation and administration paper (740) from the Associateship <u>(Pre 01/11/2012)</u>	18, 19	6

Faculty or Institute of Actuaries	Associate - achieved by examination passed before 1 December 2001 (must include a pass in Subject 301 - Investment and Asset Management (syllabus in force from 1998))	14 and 10	1
	Fellow or Associate by examination (must include Investment Paper E (Syllabus in force until 1998))		
Financial & Legal Skills Partnership (formerly the Financial Skills Partnership/Financial Services Skills Council (FSP/ FSSC)) ( <u>Dissolved on 7 April 2015</u> )	FLSP Advanced/Modern Apprenticeship in Advising on Financial Products (Long Term Care Insurance Pathway)	7	1
	FLSP Level 3 Advanced Apprenticeship in Advising on Financial Products (Mortgage Advice Pathway) or Level 3 Advanced Apprenticeship in Providing Mortgage Advice	20	1
	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)	17	6
	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)	17	5



	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)	17	4
	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)	18	4
	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)	18	5
	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)	18	6
	FLSP Level 3 Advanced/ Modern Apprenticeship in Retail or Providing Financial Services (Long Term Insurance or Life, Pensions and Investments or Pensions	19	1

	Administration Pathway including CF1 and FA2)		
ICMA Centre/ University of Reading (Formerly ISMA Centre/ University of Reading)	Operations Certificate Programme (OCP) ( <u>Until January 2020</u> )	16, 17	6
Institute of Financial Planning (until 1 November 2015)	Certified Financial Planner (syllabus in force until 31/10/2015)	4 and 6	b
	Fellowship (syllabus in force until 31/10/2015)		
Investment Management Association	Investment Administration Management Award	15, 16, 17	6
<del>Japanese</del> Japan Securities Dealers Association	Representative of Public Securities Examination ( <del>pre</del> <u>Pre</u> April 1990)	8	2
Japanese Bankers Association	Registered Representative of Public Securities Examination ( <del>pre</del> <u>Pre</u> April 1990)	8	2
Lloyd's	Lloyd's and London Market Introductory Test (Formerly the Lloyd's Introductory Test) ( <u>Pre</u> 31/12/2015)	9	1
Sheffield Hallam University	BA in Financial Services (1995 to 2001)	4 and 6	b
	MA in Financial Services (1995 to 2001)		
	Post Graduate in Financial Services (1995 to 2001)		
The London Institute of Banking & Finance Limited  (From 1 April 2023) Until 31 March 2023, the qualifications were provided by The London Institute of Banking &	CeMAP bridge paper plus entry requirements (Pre 31/10/2004)	21, 22	1
	Certificate for Financial Advisers - Paper 1 (Pre 31/10/2004)	15, 16, 17, 18, 19	4
		20, 21, 22	5
			3

Finance (formerly the ifs University College and the ifs School of Finance/Chartered Institute of Bankers)	Certificate for Financial Advisers - Paper 2 (Pre 31/10/2004)	18, 19	6
	Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004)	20, 21, 22	1
	Certificate in Mortgage Advice and Practice (CeMAP) (Pre 31/10/2004) - Paper 1	20, 21	3
	Diploma for Financial Advisers ( <del>pre</del> Pre 2010 examination standards)	4 and 6	b
The Securities Analysts Association of Japan (SAAJ)	CMA Level 2 (for individuals advising before 30/06/2009)	2, 3, 12, 13	b
University of the West of England	BA in Financial Services (1995 to 2001)	4 and 6	b
	MA in Financial Services (1995 to 2001)	4 and 6	b
	Post Graduate in Financial Services (1995 to 2001)		