Updated 7 February 2017		Advising on Collective Investment					
		Schemes and Long Term Insurance	Advising on General	Advising on General			
	Qualification	Products (with GIC)	Securities	Derivatives			
ACI The Financial Markets Association							
	ACI Diploma (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and						
	Personal Taxation)	No	Yes	Yes			
Association of Certified International Investment A							
	CIIA qualification (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and						
	Personal Taxation)	No	Yes	Yes			
Association of International Wealth Management (		<b>N</b> 1		l v			
Plackburg Callege Heirografer Cantus	Certified International Wealth Manager Diploma (CIWM)	No	Yes	Yes			
Blackburn College – University Centre	Foundation Degree Award in Financial Services	Yes	No	No			
Bournemouth University	Touridation Degree Award in Financial Services	Tes	INO	INO			
Bodinemodin oniversity	BA in Financial Services (1995 to 2001)	Gap-fill Required	No	No			
	MA in Financial Services (1995 to 2001)	Gap-fill Required	No	No			
	Post Graduate in Financial Services (1995 to 2001)	Gap-fill Required	No	No			
Calibrand / Chartered Institute of Bankers in Scott		3,000					
	Diploma in Professional Financial Advice (Post 30/4/2014)	Yes	No	No			
Calibrand / Scottish Qualifications Authority							
•	Diploma in Professional Financial Advice (pre 1/8/2018)	Yes	No	No			
	Diploma in Professional Financial Advice (NMBA - Alternative Assessment method)	Yes	No	No			
Canadian Securities Institute							
	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	No	Gap-fill Required	No			
	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	No	No	Gap-fill Required			
	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	No	Yes	Gap-fill Required			
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)	No	Yes	Yes			
	MSC in Investment Management pre 2003 syllabus (provided it is accompanied by appropriate qualifications in Regulation and Ethics and						
	Personal Taxation)	No	Gap-fill Required	Gap-fill Required			
CFA Institute and the CFA Society of the UK							
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4)	No	Yes	Yes			
	Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3)	No	Gap-fill Required	Gap-fill Required			
	Holder of Associate qualification (associate member)	No	Gap-fill Required	Gap-fill Required			
	Holder of Associate qualification (Fellow)	No	Gap-fill Required	Gap-fill Required			
	Level 1 of CFA Program plus Investment Management Certificate (Level 3)	No	Gap-fill Required	Gap-fill Required			
	Level 1 of CFA Program plus Investment Management Certificate (Level 4)	No	Yes	Yes			
CFA Society of the UK (Formerly) the UK Society	Investment Professionals/Institute of Investment Management and Research (IIMR))	A1.	V	NI.			
	Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities	No	Yes	No			
	Investment Management Contificate (Level 4) plus other gualifications that most an additionate developing an addition of products	Van	Na	Nie			
	Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on packaged products Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives	Yes	No No	No Yes			
Chartered Institute for Securities and Investment	investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives	No	No	res			
Chartered institute for Securities and investment							
	Certificate in Private Client Investment Advice and Management	Gap-fill Peguired	Cap-fill Peguired	Can-fill Poquired			
	Certificate in Private Client Investment Advice and Management  Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	Gap-fill Required	Gap-fill Required	Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)	Gap-fill Required	Gap-fill Required	Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)	Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate	Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)	Gap-fill Required Gap-fill Required Gap-fill Required Yes	Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate Investment Advice Diploma (where candidate holds 3 modules including the private client advice module) Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes	Gap-fill Required Gap-fill Required Gap-fill Required No	Gap-fill Required Gap-fill Required Gap-fill Required No			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate Investment Advice Diploma (where candidate holds 3 modules including the private client advice module) Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module) Investment Advice Diploma (where candidate holds 3 modules including the securities module)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No	Gap-fill Required Gap-fill Required Gap-fill Required No Yes	Gap-fill Required Gap-fill Required Gap-fill Required No			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No	Gap-fill Required Gap-fill Required Gap-fill Required No No No Yes			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Yes	Gap-fill Required Gap-fill Required Gap-fill Required No Yes No Yes	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate Investment Advice Diploma (where candidate holds 3 modules including the private client advice module) Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module) Investment Advice Diploma (where candidate holds 3 modules including the securities module) Investment Advice Diploma (where candidate holds 3 modules including the derivatives module) Masters in Wealth Management (Post 2010 examination standards) Masters in Wealth Management (Pre 2010 examination standards)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No  Yes Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required			
Chartered Alternative Investment Analysis Associa	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No Yes No Yes	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes			
Chartered Alternative Investment Analysis Associa	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Solution Yes Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No  Yes Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required Gap-fill Required No			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  atton (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)  Associate (March 1992 to July 1994 syllabus (including top-up test))	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required  Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required Gap-fill Required No No			
	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)  Associate (March 1992 to July 1994 syllabus (including top-up test))  Associate (post August 1994 syllabus)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required No No No	Gap-fill Required Gap-fill Required Gap-fill Required No No No Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No No			
_	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate Investment Advice Diploma (where candidate holds 3 modules including the private client advice module) Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module) Investment Advice Diploma (where candidate holds 3 modules including the securities module) Investment Advice Diploma (where candidate holds 3 modules including the derivatives module) Masters in Wealth Management (Post 2010 examination standards) Masters in Wealth Management (Pre 2010 examination standards) Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)  Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (post August 1994 syllabus) Associateship - (must include a pass in the Investment Paper)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required No	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required  Gap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No Yes Yes Gap-fill Required Gap-fill Required No No			
Chartered Alternative Investment Analysis Associations Chartered Institute of Bankers in Scotland	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only)  Diploma (where candidate holds 3 modules as recommended by the firm)  Investment Advice Certificate  Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)  Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)  Investment Advice Diploma (where candidate holds 3 modules including the securities module)  Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)  Masters in Wealth Management (Post 2010 examination standards)  Masters in Wealth Management (Pre 2010 examination standards)  Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)  Associate (March 1992 to July 1994 syllabus (including top-up test))  Associate (post August 1994 syllabus)  Associateship - (must include a pass in the Investment Paper)  Certificate in Investment Planning (Pre 17/09/2004)	Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required  No Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required	Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required No No No No Gap-fill Required No	Gap-fill Required Gap-fill Required Gap-fill Required No No No Yes Yes Gap-fill Required Gap-fill Required No No No No No No No No Odap-fill Required No			
Chartered Alternative Investment Analysis Associa Chartered Institute of Bankers in Scotland	Certificate in Private Client Investment Advice and Management (attained through a CISI competency interview and presentation only) Diploma (where candidate holds 3 modules as recommended by the firm) Investment Advice Certificate Investment Advice Diploma (where candidate holds 3 modules including the private client advice module) Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module) Investment Advice Diploma (where candidate holds 3 modules including the securities module) Investment Advice Diploma (where candidate holds 3 modules including the derivatives module) Masters in Wealth Management (Post 2010 examination standards) Masters in Wealth Management (Pre 2010 examination standards) Member of the Securities Institute (MSI Dip) (where candidate holds 3 modules as recommended by the firm)  ation (CAIA)  CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)  Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (post August 1994 syllabus) Associateship - (must include a pass in the Investment Paper)	Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Yes Gap-fill Required Gap-fill Required Gap-fill Required No	Gap-fill Required Gap-fill Required Gap-fill Required No  Yes No Yes Gap-fill Required Gap-fill Required Gap-fill Required  No No No Cap-fill Required	Gap-fill Required Gap-fill Required Gap-fill Required No No No Yes Yes Gap-fill Required Gap-fill Required No No OGap-fill Required			

Security	1		· ·	N	l N
Speed in profession		Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)  Diploma in Investment Planning (Postal Populary) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	Yes	No	No No
Reference   Temporary Sperating   and Place of Section (1975)   1900					
Suppose   Provide Province Province   Suppose   Province Province   Suppose   Province Province   Suppose   Province Province   Suppose   Suppos	Chartered Insurance Institute		•••	•••	• • • • • • • • • • • • • • • • • • • •
		Advanced Diploma in Financial Planning	Gap-fill Required	No	No
Conversion   Con				Gap-fill Required	Gap-fill Required
Carelote to Security Action (1997)   Carelote					
Section   Female Pleasing   Section 2   Female Pleasing   Sectio					
Discrete in Financial Paring due agrees of 15 Separates able and displays (					
Part					
Control   Regulated Faces					
Part   Comment					
February   Associate   Figure or Associate					
Security Sec		Fellow (FLIA Dip)	Gap-fill Required	No	No
Certific Secritor Trainburg Certifical Call accompanient by appropriate qualifications in Regulation and Principles and No. Capill Resurse Vis.  Secritor of Personal Technology  Florida or Association Advantage of Personal Technology of Personal Technology  Florida or Association of Secritor Secrito		Fellow or Associate (life and pensions route only)	No	Gap-fill Required	Gap-fill Required
Rule and Personal Transaction   No.   Cap-68 Required   No.   No.   Cap-68 Required   No.   No.   Cap-68 Required   No.   No	Deutsche Boerse AG				
Research Personal Transition of Actuaries  Filtrer to Actuaries  F		Risk and Personal Taxation)	No	Gap-fill Required	No
The Cont Associated or even the ministed magnetic of all the following roadsets of 11, CTZ CTT, CTT and CTT			No	Gap-fill Required	Yes
File Ministry Regulatory Authority (FMRA) - Formary the National Association of Securities peaker (MASD)  Since 7 - Cere of Social Securities of Securities (MASD)  Association (MASD)  Association of Principal Authority (FMRA) - Formation Address (MASD)  Association (MAS	Faculty or Institute of Actuaries				
Secretary - Conceal Securities Parameters (provided it is accompanied by appropriate qualifications in Regulation and Parameter (provided it is accompanied by appropriate qualifications in Regulation and Regulation		· · · · · · · · · · · · · · · · · · ·	Yes	Yes	Yes
Comment   Comm	Financial Industry Regulatory Authority (FINRA) - F				
Associate   Asso		Ethics and Personal Taxation)	No	Gap-fill Required	Gap-fill Required
Decimal or Financial Advises post 2010 seamment standards)   See   No   No   No	IFS University College (formerly the IFS School of I		0 (11)		0 (11 )
Digitation for Financial Advisores (no 2010 examination antandaess)					· · · · · · · · · · · · · · · · · · ·
Consider Deplatmen in Francisis Advices (Adv Deplatmen in Francis Adv Deplatmen in Francis Advoces (Adv Deplatmen in Franc				-	
Professional Conflictation in Eurology (2018) (John or controllate) has passed the Procted of Financial Advicer montality) Professional Conflictation in Eurology (2018) (John or Conflictation in Regulation and Enters, Investment Processing of Public Socialists and Personal Taxistics)  Conflict Agriculture of Financial Planning  Conflict Agriculture of Public Socialists and Personal Taxistics)  Conflict Agriculture of Public Socialists and Personal Taxistics  Conflict Agriculture of Taxistic					-
Professional Prisonal Planning					
Conflict Francial Planner   Conflict Francial Planner   Conflict Francial Planner   No					
Feliowarding   Feli	Institute of Financial Planning				
Representative of Public Securities Qualification - Type 1 (provised it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)    Representative of Public Securities Qualification - Type 1 (provised it is accompanied by appropriate qualifications in Regulation and				No	No
Regresentative of Policis Socurities Qualification - Type 1 (provided it is accompanied by appropriate qualifications in Regulation and Brick, Investment Principles and Risk and Personal Taxation)  Another Stock Exchange (ecords are now kept by Tec USI)  Another Manufacture Metropolitan University  Another Metropolitan University  Personal Continues of Investment papers  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planning and Management  Another Metropolitan University  Ba (Horse) Financial Services, Planni		Fellowship	Gap-fill Required	No	No
Einics, Investment Principles and Risk and Personal Toxation) London Stock Exchange (records are now kept by The CIS) London Stock Exchange (records are now kept by The CIS) London Stock Exchange (records are now kept by The CIS) London Stock Exchange Full Membership Exams - where candidate holds three or four papers or holds both the Stock Exchange Protecte and Techniques of Investment papers  BA (Hons) Financial Services, Planning and Management  BA (Hons) Financial Services, Planning and Management  BB (B (Hons) Financial Planning  BB (B (Hons) Financial Planning, Investment and Risk  BB (B (Hons) Financial Planning, Investment and Risk  BB (B (Hons) Financial Planning, Investment and Risk  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Toxadion)  BB (B (Hons) Financial Planning, Investment and Risk and Personal Tox	Japanese Securities Dealers Association	Department is of Dublic Constitution Oscillation. Type 4 (provided it is accompanied by appropriate gualifications in Deputation and			
London Stock Exchange (records are now kept by The CISI) Chordon Stock Exchange Practice and Techniques of Investment papers  Gap-fill Required  Financial Services, Planning and Management  Financial Services (1995 to 2001)  BA in F			No	Gan-fill Peguired	Gap-fill Peguired
London Stock Exchange Full Membership Esams - where candidate holds three or four papers or holds both the Stock Exchange Function and Techniques of Investment papers or holds both the Stock Exchange Full Required Gap-fill Required Gap-fill Required Gap-fill Required Sap-fill Req	London Stock Exchange (records are now kept by		140	Gap-IIII Required	Cap-IIII Nequired
Anachester Metropolitan University  Anachester Metropolitan University  Persion Management Institute  Diploma in Regulated Returnment Advice	Zonach etech Zhenange (recentae and men nept a)				
Persion Management Institute    Diploma in Regulated Retirement Advice   Yes   No   No   No   No   No   No   No   N			Gap-fill Required	Gap-fill Required	Gap-fill Required
Diploma in Regulated Retirement Advice  Diploma in Regulated Retirement Advice  BA in Financial Services (1995 to 2001)  MA in Financial Services (1995 to 2001)  BA in Financial Services (1995 to 2001)  Certified Hallam University  Certified Securities Fracter the Swiss Markets Insight Course (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)  CMA Level 2 (for individuals not advising before 30 June 2009)  CMA Level 2 (	Manchester Metropolitan University				
Six Swiss Exchange    Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Cap-file Required   Securities (1995 to 2001)   Six Swiss Exchange   Six Swiss Exchange		BA (Hons) Financial Services, Planning and Management	Yes	Yes	Yes
Bà in Financial Services (1995 to 2001)  Ba in Financial Services (1995 to 200	Pension Management Institute		V	N.	N
BA in Financial Services (1995 to 2001) MA in Financial Services (1995 to 2001) Post Graduate in Financial Services (1995 to 2001) Post Graduate in Financial Services (1995 to 2001)  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)  Certified Securities Analysts Association of Japan (SAA)  CMA Level 2 (for individuals advising before 30 June 2009 - provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)  Inversity of Northampton  Bisc Banking and Financial Planning  Bisc (Hons) Financial Planning. Investment and Risk  Yes  No  No  Sap-fill Required  Gap-fill Required  Gap-fill Required  Gap-fill Required  Finance and Accounting  Bis in Finance and Accounting  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the firm)  Misc in International Accounting and Finance (where candidates hold modules as recommended by the	Chaffield Hallom University	Diploma in Regulated Retirement Advice	Yes	No	No
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CMA Level 2 (for individuals advising before 30 June 2009) 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)  No Gap-fill Required			No	Gap-fill Required	No
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University of Northampton  BSc Banking and Financial Planning  BSc (Hons) Financial Planning, Investment and Risk  No BSc (Hons) Financial Planning  No		CMA Level 2 (for individuals not advising before 30 June 2009 - provided it is accompanied by appropriate qualifications in Regulation			
BSc Banking and Financial Planning  Jniversity of South Wales    BSc (Hons) Financial Planning, Investment and Risk	Hairanaite of National	Land Ethics, Investment Principles and Risk and Personal Taxation)	No	Gap-fill Required	Gap-fill Required
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