

	Qualification	Advising on Collective Investment Schemes and Long Term Insurance Products (with GIC)	Advising on General Securities	Advising on General 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 Analysts (ACIIA)	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 (AIWM)	Certified International Wealth Manager Diploma (CIWM)	No	Yes	Yes
Blackburn College – University Centre	Foundation Degree Award in Financial Services	Yes	No	No
Bournemouth University	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 Scotland	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))	Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities	No	Yes	No
	Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on packaged products	Yes	No	No
	Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives	No	No	Yes
Chartered Institute for Securities and Investment	Certificate in Private Client Investment Advice and Management	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
	Diploma (where candidate holds 3 modules as recommended by the firm)	Gap-fill Required	Gap-fill Required	Gap-fill Required
	Investment Advice Certificate	Gap-fill Required	Gap-fill Required	Gap-fill Required
	Investment Advice Diploma (where candidate holds 3 modules including the private client advice module)	Yes	No	No
	Investment Advice Diploma (where candidate holds 3 modules including the financial planning and advice module)	Yes	No	No
	Investment Advice Diploma (where candidate holds 3 modules including the securities module)	No	Yes	No
	Investment Advice Diploma (where candidate holds 3 modules including the derivatives module)	No	No	Yes
	Masters in Wealth Management (Post 2010 examination standards)	Yes	Yes	Yes
	Masters in Wealth Management (Pre 2010 examination standards)	Gap-fill Required	Gap-fill Required	Gap-fill Required
	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
Chartered Alternative Investment Analysis Association (CAIA)	CAIA Level 1 (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)	No	Gap-fill Required	No
Chartered Institute of Bankers in Scotland	Associate (March 1992 to July 1994 syllabus (including top-up test))	Gap-fill Required	No	No
	Associate (post August 1994 syllabus)	Gap-fill Required	No	No
	Associateship - (must include a pass in the Investment Paper)	No	Gap-fill Required	Gap-fill Required
	Certificate in Investment Planning (Pre 17/09/2004)	Gap-fill Required	No	No
	Chartered Banker (where candidates hold UK Financial Services and Investment modules)	Gap-fill Required	No	No
	Diploma in Investment Planning (current)	Gap-fill Required	No	No
	Diploma in Investment Planning (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015)	Yes	No	No

	Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)	Yes	No	No
	Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	Yes	No	No
	Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)	Yes	No	No
	Diploma in investment planning (work based assessment) (Pre 1/6/2015)	Yes	No	No
Chartered Insurance Institute				
	Advanced Diploma in Financial Planning	Gap-fill Required	No	No
	Advanced Financial Planning Certificate	Gap-fill Required	Gap-fill Required	Gap-fill Required
	Associate (ACII) (where candidate holds appropriate life and pension modules)	Gap-fill Required	No	No
	Associate (ALIA Dip)	Gap-fill Required	No	No
	Certificate in Securities Advice and Dealing	No	Yes	No
	Diploma in Financial Planning	Gap-fill Required	No	No
	Diploma in Financial Planning plus a pass in J12: Securities advice and dealing	No	Yes	No
	Diploma in Regulated Financial Planning	Yes	No	No
	Diploma in Regulated Financial Planning (attained through a CII alternative assessment day)	Yes	No	No
	Fellow (FCII) (where candidates hold appropriate life and pensions modules)	Gap-fill Required	No	No
	Fellow (FLIA Dip)	Gap-fill Required	No	No
	Fellow or Associate (life and pensions route only)	No	Gap-fill Required	Gap-fill Required
Deutsche Boerse AG				
	Certified Securities Trader (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)	No	Gap-fill Required	No
	Certified Derivatives Trader (provided it is accompanied by appropriate qualifications in Regulation and Ethics, Investment Principles and Risk and Personal Taxation)	No	Gap-fill Required	Yes
Faculty or Institute of Actuaries				
	Fellow or Associate or where the individual has passed all of the following modules CT1, CT2, CT4, CT5, CT6, CT7 and CT8	Yes	Yes	Yes
Financial Industry Regulatory Authority (FINRA) - Formerly the National Association of Securities Dealers (NASD)				
	Series 7 - General Securities Representatives Examination (provided it is accompanied by appropriate qualifications in Regulation and Ethics and Personal Taxation)	No	Gap-fill Required	Gap-fill Required
IFS University College (formerly the IFS School of Finance/Chartered Institute of Bankers)				
	Associateship - (must include a pass in the Investment / Investment Management Paper)	Gap-fill Required	Gap-fill Required	Gap-fill Required
	Diploma for Financial Advisers (post 2010 examination standards)	Yes	No	No
	Diploma for Financial Advisers (pre 2010 examination standards)	Gap-fill Required	No	No
	Level 6 Diploma in Financial Advice (Adv Dipfa)	Yes	No	No
	Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module)	Yes	No	No
	Professional Investment Certificate	Gap-fill Required	No	No
Institute of Financial Planning				
	Certified Financial Planner	Gap-fill Required	No	No
	Fellowship	Gap-fill Required	No	No
Japanese Securities Dealers Association				
	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)	No	Gap-fill Required	Gap-fill Required
London Stock Exchange (records are now kept by The CISI)				
	London Stock Exchange Full Membership Exams - where candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers	Gap-fill Required	Gap-fill Required	Gap-fill Required
Manchester Metropolitan University				
	BA (Hons) Financial Services, Planning and Management	Yes	Yes	Yes
Pension Management Institute				
	Diploma in Regulated Retirement Advice	Yes	No	No
Sheffield Hallam University				
	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
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)	No	Gap-fill Required	No
The Securities Analysts Association of Japan (SAAJ)				
	CMA Level 2 (for individuals advising before 30 June 2009)	No	Gap-fill Required	Gap-fill Required
	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	Gap-fill Required
University of Northampton				
	BSc Banking and Financial Planning	Yes	No	No
University of South Wales				
	BSc (Hons) Financial Planning, Investment and Risk	Yes	No	No
University of Stirling				
	BA in Finance	Gap-fill Required	Gap-fill Required	No
	BA in Finance and Accounting	Gap-fill Required	Gap-fill Required	Gap-fill Required
	MSc in Finance	No	Gap-fill Required	Gap-fill Required
	MSc in international Accounting and Finance (where candidates hold modules as recommended by the firm)	No	Gap-fill Required	Gap-fill Required
	MSc in Investment Analysis	No	Gap-fill Required	Gap-fill Required
University of the West of England				
	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