	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 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 (
	Certified International Wealth Manager Diploma (CIWM)	No	Yes	Yes
Blackburn College – University Centre	Foundation Donnes Assembly Financial Comings	V	NI.	A1.
Bournemouth University	Foundation Degree Award in Financial Services	Yes	No	No
Bournemouth 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 Scotl				
Calibrated / Casttink Ovalitiesticus Authorite	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	The state of the s	1.00	. 10	.10
	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	INO	INO	Gap-IIII Nequired
	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		V	V
	Principles and Risk and Personal Taxation) MSC in Investment Management pre 2003 syllabus (provided it is accompanied by appropriate qualifications in Regulation and Ethics and	No	Yes	Yes
	IPersonal Laxation)	Nο	Gap-fill Required	Gap-fill Required
CFA Institute and the CFA Society of the UK	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 No	Gap-fill Required Yes	Gap-fill Required Yes
CFA Institute and the CFA Society of the UK	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3)	No No	Yes Gap-fill Required	Yes 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) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member)	No No No	Yes Gap-fill Required Gap-fill Required	Yes 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) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow)	No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required	Yes Gap-fill Required 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) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3)	No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4)	No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3)	No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) Investment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on packaged products	No No No No No No No No No Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No
CFA Society of the UK (Formerly the UK Society I	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) Investment Professionals/Institute of Investment Management and Research (IIMR)) 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	No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No
	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) Investment Professionals/Institute of Investment Management and Research (IIMR)) 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 Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives	No N	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No No Yes
CFA Society of the UK (Formerly the UK Society I	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) Investment Professionals/Institute of Investment Management and Research (IIMR)) 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	No No No No No No No No No Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus (including top-up test))	No No Yes No No Odap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No No Yes
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) 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)	No No Seap-fill Required Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 tition (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)	No No Seap-fill Required Gap-fill Required No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Gap-fill Required Ano No Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No Sap-fill Required Yes
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) Associates in Investment Planning (Pre 17/09/2004)	No No Seap-fill Required Gap-fill Required No Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Ro Gap-fill Required Output No No Gap-fill Required No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No Solution No
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 tion (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)) Associateship - (must include a pass in the Investment Paper) Certificate in Investment Planning (Pre 17/09/2004) Chartered Banker (where candidates hold UK Financial Services and Investment modules)	No No Yes No No Gap-fill Required Gap-fill Required Gap-fill Required Cap-fill Required No Gap-fill Required Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Gap-fill Required No No Gap-fill Required No No No No No No No No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No Sap-fill Required Yes
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) Associates in Investment Planning (Pre 17/09/2004)	No No Seap-fill Required Gap-fill Required No Gap-fill Required	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Ro Gap-fill Required Output No No Gap-fill Required No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No Solution No
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 tion (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)) Associateship - (must include a pass in the Investment Paper) Certificate in Investment Planning (Pre 17/09/2004) Chartered Banker (where candidates hold UK Financial Services and Investment modules) Diploma in Investment Planning (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015)	No No Yes No No Gap-fill Required Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Gap-fill Required No No No Gap-fill Required No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No Solution No No No No No No No No No No
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 tion (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) Associate (post August 1994 syllabus) Associateship - (must include a pass in the Investment Paper) Certificate in Investment Planning (Pre 17/09/2004) Chartered Banker (where candidates hold UK Financial Services and Investment modules) Diploma in Investment Planning (Current) Diploma in Investment Planning (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	No No Yes No No Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes No No Sap-fill Required No No Gap-fill Required No No No No No No No No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management Certificate (Level 4) 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 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 tion (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)) Associateship - (must include a pass in the Investment Paper) Certificate in Investment Planning (Pre 17/09/2004) Chartered Banker (where candidates hold UK Financial Services and Investment modules) Diploma in Investment Planning (Current) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	No No Sap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Sap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No Ro Gap-fill Required No No No No No No No No No No No No N	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Association Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 tion (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) Associate (post August 1994 syllabus) Associateship - (must include a pass in the Investment Paper) Certificate in Investment Planning (Pre 17/09/2004) Chartered Banker (where candidates hold UK Financial Services and Investment modules) Diploma in Investment Planning (Current) Diploma in Investment Planning (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015)	No No Yes No No Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Gap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes No No Sap-fill Required No No Gap-fill Required No No No No No No No No No No No No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associa	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) **Nestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 **Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives **Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) **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 (including top-up test)) **Associate (post August 1994 syllabus) **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 (Revisiting Adviser) Post 2010 (examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination	No No Yes No No Gap-fill Required Gap-fill Required Sap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes Yes Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Gap-fill Required Yes No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Associated Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 packaged products Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (post August 1994 syllabus (including top-up test)) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) 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 (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (New Adviser) (Post 2010 examination	No No Yes No No Gap-fill Required Yes Yes Yes Yes Yes Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes No No No Gap-fill Required Yes No No No Gap-fill Required No No No O O O O O O O O O O O O O O O	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Association Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) **Nestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 **Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives **Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) **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 (including top-up test)) **Associate (post August 1994 syllabus) **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 (Revisiting Adviser) Post 2010 (examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination standards and Pre 1/6/2015) **Diploma in Investment Planning (New Adviser) (Post 2010 examination	No No Yes No No Gap-fill Required Gap-fill Required Sap-fill Required Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes Yes Yes Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Gap-fill Required Yes No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Association Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 packaged products 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 in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (March 1992 to July 1994 syllabus) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) 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 (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Wew Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (E	No No Sap-fill Required Gap-fill Required Yes	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes No No No Gap-fill Required No No No Odd No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Association Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) nvestment Professionals/Institute of Investment Management and Research (IIMR)) Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on securities 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 Investment Management Certificate (Level 4) plus other qualifications that meet specialist standards for advising on derivatives Investment Management Certificate (Level 4) plus other qualifications in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (March 1992 to July 1994 syllabus) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) Associate in Investment Planning (Pre 17/09/2004) Certificate in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (First 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (First 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (First 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (First 2010 examination standards and P	No N	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes Yes No No No Gap-fill Required No No No Odd No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N
CFA Society of the UK (Formerly the UK Society I Chartered Alternative Investment Analysis Association Chartered Institute of Bankers in Scotland	Completion of CFA Program plus Investment Management Certificate Unit 1: The investment environment (Level 4) Completion of CFA Program plus Investment Management Certificate Unit 1: UK Regulation and Markets (level 3) Holder of Associate qualification (associate member) Holder of Associate qualification (Fellow) Level 1 of CFA Program plus Investment Management Certificate (Level 3) Level 1 of CFA Program plus Investment Management Certificate (Level 4) 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 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 packaged products 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 in Regulation and Ethics and Personal Taxation) Associate (March 1992 to July 1994 syllabus (including top-up test)) Associate (March 1992 to July 1994 syllabus) Associate (post August 1994 syllabus) Associate (post August 1994 syllabus) 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 (Existing Adviser) Post 2010 (examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Retail Banking) (Existing Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (Wew Adviser) (Post 2010 examination standards and Pre 1/6/2015) Diploma in Investment Planning (E	No N	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes Yes No No No Gap-fill Required Yes No No No Gap-fill Required No	Yes Gap-fill Required Gap-fill Required Gap-fill Required Yes No No No No No No No No No N

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	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
Shoutowal Incomes Institute	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 Insurance Institute	Advanced Diploma in Financial Planning	Con fill Dogwined	No.	No
	Advanced Diploma in Financial Planning Advanced Financial Planning Certificate	Gap-fill Required Gap-fill Required	No Gap-fill Required	No Gap-fill Required
	Associate (ACII) (where candidate holds appropriate life and pension modules)	Gap-fill Required	No	
	Associate (ACII) (where candidate noids appropriate life and pension modules) Associate (ALIA Dip)	Gap-fill Required	No	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 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
nstitute of Financial Planning (until 1 November				
	Certified Financial Planner (syllabus in force until 31 October 2015)	Gap-fill Required	No	No
	Fellowship (syllabus in force until 31 October 2015)	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 l	y Chartered Institute for Securities and Investment (CISI); Formerly the Securities and Investment Institute (SII); formerly The Securities	Association)		
	London Stock Exchange Full Membership Exams (and other regional stock exchanges as merged with London Stock Exchange) - 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	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers	·		
		Gap-fill Required Yes	Gap-fill Required Yes	Gap-fill Required Yes
	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management	Yes	Yes	Yes
Pension Management Institute	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers	·		
Pension Management Institute	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice	Yes	Yes	Yes
Pension Management Institute	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001)	Yes Yes Gap-fill Required	Yes No No	Yes No No
Pension Management Institute	Candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA in Financial Services (1995 to 2001)	Yes Yes Gap-fill Required Gap-fill Required	No No No	No No No
Pension Management Institute Sheffield Hallam University	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001)	Yes Yes Gap-fill Required	Yes No No	Yes No No
Pension Management Institute Sheffield Hallam University	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA in Financial Services (1995 to 2001) Post Graduate in Financial Services (1995 to 2001)	Yes Yes Gap-fill Required Gap-fill Required	No No No	No No No
Pension Management Institute Sheffield Hallam University	EA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required	No No No No	No No No No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	EA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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)	Yes Yes Gap-fill Required Gap-fill Required	No No No	No No No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	EA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required	No No No No	No No No No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	EA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers)	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required	No No No No Gap-fill Required	No No No No No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper)	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No Gap-fill Required	No No No No No Gap-fill Required Gap-fill Required	No No No No No No Gap-fill Required
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (post 2010 examination standards) Diploma in Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa)	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No Gap-fill Required Yes	No No No No No Gap-fill Required Gap-fill Required No	No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange	Candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (pre 2010 examination standards) Diploma in Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module)	Yes Yes Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Yes	No No No No Sap-fill Required Gap-fill Required No No No No No No	No N
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (fo	candidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (post 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes	No No No No Sap-fill Required Gap-fill Required No No No No	No N
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (fo	BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (pore 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Gap-fill Required	No No No No No Gap-fill Required Gap-fill Required No	No N
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (fo	EAAJ) EAAJ CMA Level 2 (for individuals advising before 30 June 2009) EAG (Hons) Financial Advice modules of Investment papers EAC (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (post 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate AAJ) CMA Level 2 (for individuals advising before 30 June 2009)	Yes Yes Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Yes	No No No No Sap-fill Required Gap-fill Required No No No No No No	No N
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (for	EAAA EAAA EAAA BA (Hons) Financial Services of Flanning and Management Each (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (pre 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate AAAJ) CMA Level 2 (for individuals advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009)	Yes Yes Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Gap-fill Required	No No No No Sap-fill Required Gap-fill Required No No No No No Sho Sho Sho Sho Sho Sho Sho Sho Sho Sh	No No No No No No No No Gap-fill Required No No No No No Gap-fill Required
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Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (for the Securities Analysts Association of Japan (S	EAAJ) EAA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA (Hons) Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (post 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate AAJ) CMA Level 2 (for individuals advising before 30 June 2009) CMA Level 2 (for individuals and Risk and Personal Taxation)	Yes Yes Gap-fill Required Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Gap-fill Required Yes No No	No No No No No Gap-fill Required Cap-fill Required No No No No No So Gap-fill Required Gap-fill Required Gap-fill Required	No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (for the Securities Analysts Association of Japan (Suniversity of Northampton	EAAA EAAA EAAA BA (Hons) Financial Services of Flanning and Management Each (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (pre 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate AAAJ) CMA Level 2 (for individuals advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009) CMA Level 2 (for individuals not advising before 30 June 2009)	Yes Yes Gap-fill Required Gap-fill Required No Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Gap-fill Required	No No No No Sap-fill Required Gap-fill Required No No No No No Sho Sho Sho Sho Sho Sho Sho Sho Sho Sh	No No No No No No No Odap-fill Required No No No No No Odap-fill Required No
Pension Management Institute Sheffield Hallam University SIX Swiss Exchange The London Instituite of Banking and Finance (for the Securities Analysts Association of Japan (Supersity of Northampton	Eardidate holds three or four papers or holds both the Stock Exchange Practice and Techniques of Investment papers BA (Hons) Financial Services, Planning and Management Diploma in Regulated Retirement Advice BA in Financial Services (1995 to 2001) MA 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) rmerly the IFS University College and the IFS School of Finance/Chartered Institute of Bankers) Associateship - (must include a pass in the Investment / Investment Management Paper) Diploma for Financial Advisers (post 2010 examination standards) Diploma for Financial Advisers (pre 2010 examination standards) Level 6 Diploma in Financial Advice (Adv Dipfa) Professional Certificate in Banking (PCertB) (where candidate has passed the Practice of Financial Advice module) Professional Investment Certificate 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) BSc Banking and Financial Planning	Yes Yes Gap-fill Required Gap-fill Required No Sap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Gap-fill Required Yes Yes Yes Gap-fill Required Yes Yes Yes Yes Yes Yes Yes Ye	No No No No No Gap-fill Required Gap-fill Required No No No No So Gap-fill Required No No No No No No No No No N	No No No No No No No No Sap-fill Required No No No No No No No No No N
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