

ANNEX 3A

Persons possessing any of the following qualifications (which must be attained through passing the specific respective examination(s)) or working experience are not required to pass Module 8

1. Degree or higher qualification, with emphasis on accountancy, actuarial science, business/business administration/business management/business studies, capital markets, commerce, economics, finance, financial engineering, financial planning or computational finance;
2. Chartered Financial Analyst (CFA) by the CFA Institute, USA;
3. Chartered Financial Consultant by the American College, USA; or Chartered Financial Consultant Singapore by SCI;
4. Certified Financial Planner by the Financial Planning Standards Board or the Certified Financial Planner Board of Standards;
5. The Association of Chartered Certified Accountants (ACCA) Qualifications;
6. Associate Chartered Accountant (ACA) of the Institute of Chartered Accountants in England and Wales ¹⁵;
7. Associate/Fellow of the Institute of Actuaries, England;
8. Associate/Fellow of the Faculty of Actuaries, Scotland;
9. Associate/Fellow of the Society of Actuaries, USA;
10. Associate/Fellow of the Institute of Actuaries of Australia;
11. Associate/Fellow of the Casualty Actuarial Society, USA;
12. Associate/Fellow of CPA Australia ¹⁶;
13. Investment Company Products/Variable Contracts Limited Representative Examination (Series 6) or General Securities Representative Examination (Series 7) administered by the Financial Industry Regulatory Authority (FINRA), USA;

¹⁵ Qualification attained by membership is recognised.

¹⁶ Qualification attained by membership is recognised.

14. Module 1 of the Investor Contact Competency Examination (ICCE Module 1); administered by the Securities and Exchange Commission, Thailand ¹⁷;
15. Three years of relevant and continuous working experience in respect of the financial advisory service to be provided with no break in service of more than 3 years between the individual's last working experience and the date of his application for a representative's licence prior to 26 November 2010, or of commencement of the provision of financial advisory services prior to 26 November 2010, or his principal's lodgement with the Authority of documents under section 23F of the Act, in relation to his appointment as an appointed representative, as the case may be.

[FAA-N13 (Amendment) 2011]

¹⁷ Person has to be licensed by the Securities and Exchange Commission of Thailand. His/her principal company in Singapore shall maintain proper records of documentary evidence certifying his licence or authorisation status in Thailand.