

ANNEX 1A

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 6

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. The Association of Chartered Certified Accountants (ACCA) Qualifications;
4. Associate Chartered Accountant (ACA) of the Institute of Chartered Accountants in England and Wales⁸;
5. Associate/Fellow of the Institute of Actuaries, England;
6. Associate/Fellow of the Faculty of Actuaries, Scotland;
7. Associate/Fellow of the Society of Actuaries, USA;
8. Associate/Fellow of the Institute of Actuaries of Australia;
9. Associate/Fellow of the Casualty Actuarial Society, USA;
10. Associate/Fellow of CPA Australia⁹;
11. 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;
12. Module 1 of the Investor Contact Competency Examination (ICCE Module 1); administered by the Securities and Exchange Commission, Thailand¹⁰;

⁸ Qualification attained by membership is recognised.

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13. 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 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]

14. Investment Advice Diploma (where candidate holds 3 modules including the securities module) administered by the Chartered Institute for Securities and Investment (CISI);

[FAA-N13 (Amendment) 2014]

15. 15. Investment Advice Diploma (where candidate holds 3 modules including the derivatives module) administered by the Chartered Institute for Securities and Investment (CISI);

[FAA-N13 (Amendment) 2014]

16. 16. Masters in Wealth Management (Post 2010 examination standards) administered by the Chartered Institute for Securities and Investment (CISI).

[FAA-N13 (Amendment) 2014]

¹⁰ Person has to be licensed by the Securities and Exchange Commission of Thailand and needs to submit documentary evidence to his proposed principal certifying his licence or authorisation status in Thailand.