

Notice No : SFA 04-N09 (Amendment) 2014
Issue Date : 10 June 2014

**NOTICE ON MINIMUM ENTRY AND EXAMINATION REQUIREMENTS
FOR REPRESENTATIVES OF HOLDERS OF CAPITAL MARKETS
SERVICES LICENCE AND EXEMPT FINANCIAL INSTITUTIONS**

Introduction

1 This Notice is issued pursuant to section 101 of the Securities and Futures Act (Cap. 289) [the “Act”] and amends the Notice on Minimum Entry and Examination Requirements for Representatives of Holders of Capital Markets Services Licence and Exempt Financial Institutions [the “Notice SFA 04-N09”].

2 The Notice SFA 04-N09 dated 11 August 2010 and last revised on 7 August 2012 is hereby amended by inserting, immediately after paragraph 13 in Annex 1A, the following paragraphs:

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

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

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

Commencement

3 This Notice shall take effect immediately.