

Appendix C to the Guidelines on Competence

Table 1

RA Country

Table 2 Recognized Industry Qualifications and Local Regulatory Framework Papers by Regulated Activities (Representative)

RA	Country	Recognized Industry Qualifications	Local Regulatory Framework Papers
1, 8	Hong Kong	- HKSI DPE Papers 1+3 - HKSI LE Papers 7+8 - HKSI PDFM Modules 1+2+3+6+7	- HKSI DPE Paper 2 - HKSI PDFM Modules 4+5 - HKSI LE Paper 1
	Australia	- SIA's Diploma of Financial Services (Elective Stream B) - SIA's Diploma of Financial Markets (with Securities elective)	
	Canada	- CSI's Canadian Securities Course	
	Japan	-	

RA	Country	Recognized Industry Qualifications	Local Regulatory Framework Papers
3	Hong Kong	- VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 2 - VTC Leveraged Foreign Exchange Trader's Representative Examination Paper 2	- VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 1 - VTC Leveraged Foreign Exchange Trader's Representative Examination Paper 1
4	Hong Kong	- HKSI DPE Papers 1+3 - HKSI LE Papers 7+8 - HKSI PDFM Modules 1+2+3+6+7 -	- HKSI DPE Paper 2 - HKSI PDFM Modules 4+5 - HKSI LE Paper 1
	Australia	- SIA's Diploma of Financial Services (Financial Planning) - SIA's Diploma of Financial Services (Elective Stream A or B) - SIA's Diploma of Financial Markets (with Securities elective)	
	Canada	- CSI's Canadian Securities Course	
	Japan	-	

RA	Country	Recognized Industry Qualifications	Local Regulatory Framework Papers
5	Hong Kong	- HKSI DPE Papers 1+3 - HKSI LE Papers 7+9 - HKSI PDFM Modules 1+2+3+6+7	- HKSI DPE Paper 2 - HKSI PDFM Modules 4+5 - HKSI LE Paper 1
	Australia	- SIA's Diploma of Financial Services (Financial Planning) - SIA's Diploma of Financial Services (Elective Stream A or B) - SIA's Diploma of Financial	

RA	Country	Recognized Industry Qualifications	Local Regulatory Framework Papers
9	Hong Kong	- HKSI DPE Papers 1+3 - HKSI LE Papers 7+12 - HKSI PDFM Modules 1+2+3+6+7	- HKSI DPE Paper 2 - HKSI PDFM Modules 4+5 - HKSI LE Paper 1
	Australia	- SIA's Diploma of Financial Services (Financial Planning) - SIA's Diploma of Financial	