

Table 1

Acceptable Chartered Institute for Securities & Investment (CISI) Certificates	
Prerequisite#1	1) CISI Certificate in Securities AND 2) CISI Certificate in Derivatives AND 3) CISI Investment, Risk and Taxation - Retail
Prerequisite#2	1) CISI Certificate in Securities AND 2) CISI Certificate in Financial Derivatives AND 2) CISI Investment, Risk and Taxation - Retail
Prerequisite#3	1) CISI Certificate in Derivatives AND 2) CISI Certificate in Financial Derivatives AND 3) CISI Investment, Risk and Taxation - Retail
Prerequisite#4	1) CISI Investment Advice Diploma (IAD) Note: Includes either the Securities or the Derivatives Unit, Excludes Private Client Advice

*Effective 2014

Table 2

Acceptable Chartered Institute for Securities & Investment (CISI) Certificates	
Prerequisite#1	CISI Certificate in Securities and Financial Derivatives – Retail (No longer offered as of 04/01/09)
Prerequisite#2	CISI Certificate in Securities and Financial Derivatives (No longer offered as of 04/01/09) AND 2) CISI Investment and Risk Unit
Prerequisite#3	1) CISI Certificate in Securities – Retail AND 2) CISI Derivatives Unit
Prerequisite#4	1) CISI Certificate in Securities AND 2) CISI Derivatives Unit AND 3) CISI Investment and Risk Unit
Prerequisite#5	1) CISI Certificate in Securities - Retail AND 2) CISI Financial Derivatives Unit
Prerequisite#6	1) CISI Certificate in Securities AND 2) CISI Financial Derivatives Unit

	<i>AND</i> 3) CISI Investment and Risk Unit
Prerequisite#7	1) CISI Certificate in Derivatives – Retail <i>AND</i> 2) CISI Securities Unit
Prerequisite#8	1) CISI Certificate in Derivatives <i>AND</i> 2) CISI Securities Unit <i>AND</i> 3) CISI Investment and Risk Unit
Prerequisite#9	1) CISI Certificate in Financial Derivatives – Retail <i>AND</i> 2) CISI Securities Unit
Prerequisite#10	1) CISI Certificate in Financial Derivatives <i>AND</i> 2) CISI Securities Unit <i>AND</i> 3) CISI Investment and Risk Unit
Prerequisite#11	CISI Investment Advice Diploma (IAD)

*Note: The certificates listed above were available from 2007 through 2012 and these are still acceptable for purposes of qualifying a candidate to sit for the Series 17 examination.