

Module Title	Compliance	Corporate Finance	Essentials	Financial Planning	International	Operations	Risk	Soft Skills	Training	Wealth
AIFMD		✓		✓	✓		✓		✓	✓
Anti-Money Laundering	✓	✓			✓	✓	✓		✓	✓
Approved Persons Regime	✓									✓
Banking Standards	✓	✓				✓	✓		✓	✓
Behavioural Finance	✓	✓			✓	✓	✓		✓	✓
Best Execution	✓					✓				✓
Blockchains	✓	✓			✓	✓	✓		✓	
Bonds Essentials		✓	✓	✓	✓	✓	✓		✓	✓
Budget		✓		✓						✓
Business Protection	✓	✓		✓			✓		✓	✓
Capital Gains Tax (CGT) Essentials	✓	✓	✓	✓			✓			✓

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Central Clearing						✓				
Certification - What it Means For You	✓	✓				✓	✓		✓	✓
Client Assets and Client Money	✓			✓	✓	✓	✓		✓	✓
Client Assets & Client Money Essentials	✓		✓	✓	✓	✓	✓		✓	✓
Client Categories	✓				✓		✓		✓	✓
Commodities and Energy Markets		✓								✓
Conduct Risk	✓	✓				✓	✓		✓	✓
Conduct Rules	✓	✓				✓	✓		✓	✓
Conduct Rules for All Staff	✓	✓				✓	✓		✓	✓
Conflicts of Interest	✓	✓				✓	✓		✓	✓
Corporate Actions	✓					✓				

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Corporate Governance	✓	✓				✓	✓		✓	✓
Crowdfunding		✓		✓			✓			✓
Customer Complaints Procedures	✓	✓		✓		✓	✓		✓	✓
Cybercrime	✓	✓			✓	✓	✓		✓	✓
Derivatives		✓			✓					✓
Dodd-Frank Act	✓	✓			✓	✓	✓		✓	✓
ESMA Knowledge and Competence Guidelines	✓				✓				✓	✓
Estate Planning		✓		✓			✓			✓
European Market Infrastructure Regulation	✓				✓	✓	✓		✓	✓
Exchange Traded Funds										✓
Financial Crime	✓	✓				✓	✓		✓	✓

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Financial Ombudsman Service	✓	✓		✓		✓	✓		✓	✓
Financial Planning		✓		✓			✓			✓
Financial Promotions	✓	✓		✓		✓	✓			✓
Financial Transaction Tax	✓	✓			✓	✓	✓		✓	✓
Fintech	✓	✓			✓					
Foreign Account Tax Compliance Act	✓	✓			✓	✓	✓		✓	✓
Funding Long-Term Care				✓						
General Data Protection Regulation (GDPR)	✓	✓			✓	✓	✓		✓	✓
Hedge Funds		✓			✓					✓
Human Trafficking and the Modern Slavery Act	✓									
Individual Savings Accounts (ISAs) Essentials		✓	✓	✓						✓

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Inducements and Dealing Commissions	✓									✓
Influencing Teams								✓	✓	
Information Security and Data Protection	✓	✓			✓	✓	✓		✓	✓
Inheritance Tax Essentials	✓	✓	✓	✓			✓			✓
Insolvency and Bankruptcy	✓	✓				✓	✓			✓
Insurance		✓					✓			✓
Integrity and Ethics	✓	✓		✓	✓	✓	✓		✓	✓
Investment Business on the Internet	✓			✓		✓	✓			✓
Investment Planning		✓		✓			✓			✓
Investment Principles and Risk				✓						✓
Investment Taxation	✓	✓		✓			✓			✓

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Islamic Banking		✓			✓					✓
Managing Charity Portfolios		✓		✓			✓		✓	✓
Managing in the Regulatory Environment	✓	✓				✓	✓		✓	✓
Market Abuse	✓	✓			✓	✓	✓		✓	✓
MiFID II	✓				✓				✓	✓
New UK Regulatory Environment	✓	✓				✓	✓		✓	✓
Non-Executive Directors' Roles	✓	✓				✓	✓		✓	✓
Offshore Fund Administration		✓		✓	✓		✓			✓
Paraplanning		✓		✓			✓			✓
Pensions Advice		✓		✓			✓			✓
Pensions and Provision		✓		✓			✓			✓

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Permissions Regime	✓	✓					✓		✓	✓
Presentation Skills								✓	✓	
Price Stabilisation	✓				✓					✓
Principles of RDR	✓			✓			✓		✓	✓
RDR Adviser	✓			✓			✓		✓	✓
RDR Independence	✓			✓			✓		✓	✓
RDR Professionalism	✓			✓			✓		✓	✓
Regulation and Ethics	✓						✓		✓	✓
Regulation of Platforms	✓	✓			✓		✓			✓
Regulatory Update	✓	✓			✓		✓			✓
Remuneration Code	✓	✓			✓	✓	✓		✓	✓

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Retail Investment Advice in the UK	✓	✓		✓			✓			✓
Retail Investment Products	✓	✓		✓			✓			✓
Retirement Planning		✓		✓			✓			✓
Risk	✓	✓				✓	✓		✓	✓
Robo-Advice	✓	✓		✓			✓			✓
Sanctions and Global Markets	✓				✓		✓			
Securities Financing	✓	✓					✓			✓
Senior Managers and Certification Regime	✓	✓				✓	✓		✓	✓
Shares Essentials		✓	✓	✓		✓			✓	✓
Sovereign Wealth Funds		✓			✓		✓			✓
Speak Up	✓	✓		✓	✓	✓	✓		✓	✓

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Structured Investment Products		✓		✓	✓		✓			✓
Structuring Wealth	✓	✓					✓		✓	✓
Suitability of Client Investments	✓			✓			✓		✓	✓
Tanzania Capital Markets Regulation		✓			✓				✓	✓
Taxation	✓						✓			✓
Training and Competence	✓						✓		✓	
Training & Competence Supervision Essentials	✓		✓				✓		✓	
Treating Customers Fairly	✓	✓		✓		✓	✓		✓	✓
Trusts				✓						✓
UCISs & NMPIs	✓	✓					✓			✓
UCITS	✓	✓					✓			✓

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UK Bribery Act	✓	✓				✓	✓		✓	✓
UK Regulatory Structure	✓	✓				✓	✓		✓	✓
VCTs & EISs	✓	✓				✓	✓		✓	✓
Vulnerable Clients	✓	✓		✓			✓			✓