## **Appendix C to the Guidelines on Competence**

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
1, 8	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+8</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI LE Papers 1*+2</li> <li>HKSI PDFM Modules 4+5</li> </ul>
	Australia	<ul> <li>SIA's Diploma of Financial Services (Elective Stream B)</li> <li>SIA's Diploma of Financial Markets (with Securities elective)</li> </ul>	
	Canada	- CSI's Canadian Securities Course	
	Japan	<ul> <li>JSDA's Qualification Examination for Class-1 Sales Representatives</li> <li>JSDA's Qualification Examination for Margin Transaction Sales Representatives</li> </ul>	
	UK	<ul> <li>SII(UK) Level 3 Certificate in Investments (Securities)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment Management)</li> </ul>	
	US	<ul> <li>NASD Series 24</li> <li>NASD Series 23+ Series 9/10</li> </ul>	
2	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+9</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI LE Papers 1<sup>*</sup>+3</li> <li>HKSI PDFM Modules 4+5</li> </ul>
	Australia	<ul> <li>SIA's Diploma of Financial Services (Elective Stream B)</li> <li>SIA's Diploma of Financial Markets (with Derivatives elective)</li> </ul>	
	Canada	<ul> <li>CSI's Futures Licensing Course</li> <li>CSI's Derivatives Fundamentals Course</li> </ul>	
	UK US	<ul> <li>SII(UK) Level 3 Certificate in Investments (Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) I Level 3 Certificate in Investments (Investment Management)</li> <li>NASD Series 3</li> </ul>	
3	Hong Kong	<ul> <li>NASD Series 5</li> <li>VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 2</li> </ul>	<ul> <li>VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 1</li> </ul>

## Table 1 – Recognized Industry Qualifications and Local Regulatory Framework Papers by Regulated Activities (Responsible Officer)

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
4	Hong	- HKSI DPE Papers 1+3	- HKSI DPE Paper 2
	Kong	- HKSI LE Papers 7+8	- HKSI LE Papers 1 <sup>*</sup> +2
	_	- HKSI PDFM Modules 1+2+3+6+7	- HKSI PDFM Modules 4+5
	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	- JSDA's Qualification Examination	
		for Class-1 Sales Representatives	
		- JSDA's Qualification Examination	
		for Margin Transaction Sales	
		Representatives	
	UK	- SII(UK) Level 3 Certificate in	
		Investments (Securities)	
		- SII(UK) Level 3 Certificate in Investments (Securities &	
		Financial Derivatives)	
		- SII(UK) Level 3 Certificate in	
		Investments (Investment	
		Management)	
		- SII(UK)'s Investment Advice	
		Certificate	
	USA	- NASD Series 24	
		- NASD Series 23 + Series 9/10	
5	Hong	- HKSI DPE Papers 1+3	- HKSI DPE Paper 2
	Kong	- HKSI LE Papers 7+9	- HKSI LE Papers 1 <sup>*</sup> + 3
	_	- HKSI PDFM Modules 1+2+3+6+7	- HKSI PDFM Modules 4+5
	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 Derivatives elective)	
	Canada	- CSI's Futures Licensing Course	
		- CSI's Derivatives Fundamentals	
		Course	
	UK	- SII(UK) Level 3 Certificate in	
		Investments (Derivatives)	
		- SII(UK) Level 3 Certificate in	
		Investments (Securities & Financial Derivatives)	
		- SII(UK) Level 3 Certificate in	
		Investments (Investment	
		Management)	
		- SII(UK)'s Investment Advice	
		Certificate	
	US	- NASD Series 3	
L			

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
6	Hong	- HKSI DPE Papers 1+3	- HKSI DPE Paper 2
	Kong	- HKSI LE Papers 7+11	- HKSI LE Papers 1 <sup>*</sup> +5
		- HKSI PDFM Modules 1+2+3+6+7	- HKSI PDFM Modules 4+5
	Canada	- CSI's Canadian Securities Course	
	Japan	- JSDA's Qualification Examination	
		for Class-1 Sales Representatives	
	UK	- SII(UK) Level 3 Certificate in	
		Investments (Securities)	
		- SII(UK) Level 3 Certificate in	
		Investments (Securities &	
		Financial Derivatives)	
		- SII(UK) Level 3 Certificate in	
		Investments (Investment	
		Management)	
		- SII(UK)'s Certificate in Corporate	
		Finance	
	US	- NASD Series 24	
		- NASD Series 23 + Series 9/10	
9	Hong	- HKSI DPE Papers 1+3	- HKSI DPE Paper 2
	Kong	- HKSI LE Papers 7+12	- HKSI LE Papers $1^*+6$
		- HKSI PDFM Modules 1+2+3+6+7	- HKSI PDFM Modules 4+5
	Australia	- SIA's Diploma of Financial	
		Services (Financial Planning)	
		- SIA's Diploma of Financial	
		<ul><li>Services (Elective Stream A or B)</li><li>SIA's Diploma of Financial</li></ul>	
		Markets (with Managed	
		Investment elective)	
	Japan	- JSDA's Qualification Examination	
	Japan	for Class-1 Sales Representatives	
		(for investment portfolios consist	
		of securities only)	
	UK	- SII(UK) Level 3 Certificate in	
	ΟK	Investments (Investment	
		Management)	
		- SII(UK)'s Investment Advice	
		Certificate	
	US	- NASD Series 24	
		- NASD Series 23 + Series 9/10	
10	Hong	- HKSI LE Papers 7+10	- HKSI LE Papers 1 <sup>*</sup> +4
-	Kong	. r	·· <u>r</u> · ···

Note: 1) \*Not required for a licensed representative applying to be a responsible officer.
2) There is no competence requirement for a Type 7 (providing automated trading services) regulated activity.

1, 8       Hong Kong       -       HKSI DPE Papers 1+3 - HKSI PDFM Modules 1+2+3+6+7       -       HKSI DPE Modules 4+5         Australia       -       SIA's Diploma of Financial Services (Elective Stream B) - SIA's Diploma of Financial Markets (with Securities elective)       -       HKSI LE Paper 1         Canada       -       CSI's Canadian Securities elective)       -       HKSI DPE Paper 2 -       -         Japan       -       JSDA's Qualification Examination for Margin Transaction Sales Representatives       -       -       HKSI DPE Paper 2         UK       -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)       -       -       -         UK       -       SII(UK) Level 3 Certificate in Investments (Recurities & Financial Derivatives)       -       -       -         US       -       NASD Series 7 -       -       -       -       -         US       -       NASD Series 7 -       -       -       -       -         2       Hong -       -       HKSI DPE Paper 1+3 -       -       -       -       -         4       HKSI DPE Papers 1+3 -       -       -       -       -       -         2       Hong -       -	RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
2       -       HKSI PDFM Modules 1+2+3+6+7       -       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       -       JSDA's Qualification Examination for Class-1 Sales Representatives       -         JJDA's Qualification Examination for Margin Transaction Sales Representatives       -       -         UK       -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)       -         -       SII(UK) Level 3 Certificate in Investments (Investment Management)       -       NASD Series 7         -       NASD Series 24       -       NASD Series 24       -         -       NASD Series 24       -       -       HKSI DPE Papers 1+3         Kong       -       HKSI DPE Papers 7+9       -       HKSI PDFM Modules 1+2+3+6+7         -       -       -       -       -       HKSI DPE Paper 1         Australia       -       SIA's Diploma of Financial Services (Elective Stream B)       -       +       HKSI LE Paper 1         -       -       -       -       -       HKSI DPE Paper 2       - <tr< td=""><td>1, 8</td><td>-</td><td></td><td></td></tr<>	1, 8	-		
2         Hong Kong         -         SIA's Diploma of Financial Markets (with Securities Course           Japan         -         CSI's Canadian Securities Course           Japan         -         JSDA's Qualification Examination for Class-I Sales Representatives           JBDA's Qualification Examination for Margin Transaction Sales Representatives         -           UK         -         SII(UK) Level 3 Certificate in Investments (Securities)           -         SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)           -         SII(UK) Level 3 Certificate in Investments (Caurities & Financial Derivatives)           -         SII(UK) Level 3 Certificate in Investments (Investment Management)           US         -         NASD Series 7           -         NASD Series 24           -         NASD Series 23 + Series 9/10           -         Chartered Financial Analyst Exam Level 1 Passed           2         Hong Kong         -           -         HKSI DPE Papers 1+3 -           -         HKSI DPE Papers 7+9 -           -         HKSI DPE Modules 1+2+3+6+7 -           -         -           Australia         -           -         SIA's Diploma of Financial Services (Elective Stream B) -           -         SIA's Diploma of Financial Mar		Kong		
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2       Hong       - SIA's Diploma of Financial Markets (with Securities Course         Japan       - CSI's Canadian Securities Course         Japan       - JSDA's Qualification Examination for Class-1 Sales Representatives         -       JSDA's Qualification Examination for Margin Transaction Sales Representatives         UK       - SII(UK) Level 3 Certificate in Investments (Securities)         -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Investment Management)         US       - NASD Series 7         -       NASD Series 24         -       NASD Series 27         -       HKSI DPE Papers 1+3         -       HKSI DPE Modules 1+2+3+6+7         -       HKSI DPE Modules 1+2+3+6+7         -       HKSI DPE Modules 1+2+3+6+7         -       HKSI DPE Mancial Services (Elective Stream B)         -       SIA's Diploma of Financial Markets (with Derivatives elective)         Canada       -         -       SII(UK) Level 3 Certificate in Investments (Derivatives) <td></td> <td>Australia</td> <td></td> <td></td>		Australia		
Canada       -       CSI's Canadian Securities Course         Japan       -       JSDA's Qualification Examination for Class-1 Sales Representatives         -       JSDA's Qualification Examination for Margin Transaction Sales Representatives         -       JSIA's Qualification Examination for Margin Transaction Sales Representatives         -       SII(UK) Level 3 Certificate in Investments (Securities)         -       SII(UK) Level 3 Certificate in Investments (Securities & Frinancial Derivatives)         -       SII(UK) Level 3 Certificate in Investment (Investment Management)         US       -         US       -         -       NASD Series 7         -       NASD Series 24         -       NASD Series 24         -       NASD Series 24         -       NASD Series 7         -       HKSI DPE Papers 1+3         -       HKSI DPE Papers 1+3         -       HKSI PDFM Modules 1+2+3+6+7         -       HKSI PDFM Modules 1+2+3+6+7         -       HKSI DPE Matorial Services (Elective Stream B)         -       SIA's Diploma of Financial Markets (with Derivatives elective)         Canada       -         -       SII(UK) Level 3 Certificate in Investments (Derivatives)         -       SII(UK) Level 3 Certifica			- SIA's Diploma of Financial	
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-       NASD Series 23 + Series 9/10         -       Chartered Financial Analyst Exam Level 1 Passed         2       Hong Kong       -       HKSI DPE Papers 1+3 -       -         -       HKSI LE Papers 7+9 -       -       -         -       HKSI PDFM Modules 1+2+3+6+7 -       -       -         Australia       -       SIA's Diploma of Financial Services (Elective Stream B) -       -       HKSI LE Paper 1         -       -       -       -       -       -         Australia       -       SIA's Diploma of Financial Markets (with Derivatives elective)       -       -         Canada       -       CSI's Futures Licensing Course -       -       -         UK       -       SII(UK) Level 3 Certificate in Investments (Derivatives) -       -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives) -       -         -       SII(UK) Level 3 Certificate in Investments (Investment       -       SII(UK) Level 3 Certificate in Investments (Investment		US	- NASD Series 7	
-Chartered Financial Analyst Exam Level 1 Passed2Hong Kong-HKSI DPE Papers 1+3 HKSI DPE Paper 2 -2Hong Kong-HKSI LE Papers 7+9 HKSI PDFM Modules 1+2+3+6+7 HKSI DPE M Modules 4+5 -4Australia-SIA's Diploma of Financial Services (Elective Stream B) HKSI LE Paper 1Australia-SIA's Diploma of Financial Markets (with Derivatives elective)-Canada-CSI's Futures Licensing Course Canada-CSI's Futures Licensing Course UK-SII(UK) Level 3 Certificate in Investments (Derivatives) SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives) SII(UK) Level 3 Certificate in Investments (Investment-				
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-       HKSI PDFM Modules 1+2+3+6+7       -       HKSI LE Paper 1         -       -       -       -         Australia       -       SIA's Diploma of Financial Services (Elective Stream B)       -         -       SIA's Diploma of Financial Markets (with Derivatives elective)       -       -         Canada       -       CSI's Futures Licensing Course       -         -       -       CSI's Derivatives Fundamentals Course       -         UK       -       SII(UK) Level 3 Certificate in Investments (Derivatives)       -         -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)       -       SII(UK) Level 3 Certificate in Investments (Investment	2	-		
-       -         Australia       -         SIA's Diploma of Financial Services (Elective Stream B)         -       SIA's Diploma of Financial Markets (with Derivatives elective)         Canada       -         CSI's Futures Licensing Course         -       CSI's Derivatives Fundamentals Course         UK       -         SII(UK) Level 3 Certificate in Investments (Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Investment		Kong		
Services (Elective Stream B)         SIA's Diploma of Financial Markets (with Derivatives elective)         Canada       - CSI's Futures Licensing Course         - CSI's Derivatives Fundamentals Course         UK       - SII(UK) Level 3 Certificate in Investments (Derivatives)         - SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         - SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         - SII(UK) Level 3 Certificate in Investments (Investment			-	-
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Markets (with Derivatives elective)         Canada       - CSI's Futures Licensing Course         - CSI's Derivatives Fundamentals Course         UK       - SII(UK) Level 3 Certificate in Investments (Derivatives)         - SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         - SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         - SII(UK) Level 3 Certificate in Investments (Investment				
-       CSI's Derivatives Fundamentals Course         UK       -       SII(UK) Level 3 Certificate in Investments (Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         -       SII(UK) Level 3 Certificate in Investments (Investment			Markets (with Derivatives elective)	
Course         UK       - SII(UK) Level 3 Certificate in Investments (Derivatives)         - SII(UK) Level 3 Certificate in Investments (Securities & Financial Derivatives)         - SII(UK) Level 3 Certificate in Investments (Investment		Canada	C	
<ul> <li>Investments (Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment</li> </ul>				
<ul> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment</li> </ul>		UK		
Investments (Securities & Financial Derivatives) - SII(UK) Level 3 Certificate in Investments (Investment				
<ul> <li>Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment</li> </ul>				
Investments (Investment			Financial Derivatives)	
US - NASD Series 3		US		
- Chartered Financial Analyst Exam Level 1 Passed				

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

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
3	Hong Kong	<ul> <li>VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 2</li> <li>VTC Leveraged Foreign Exchange Trader's Representative Examination Paper 2</li> </ul>	<ul> <li>VTC Leveraged Foreign Exchange Trader's Responsible Officer Examination Paper 1</li> <li>VTC Leveraged Foreign Exchange Trader's Representative Examination Paper 1</li> </ul>
4	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+8</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI PDFM Modules 4+5</li> <li>HKSI LE Paper 1</li> </ul>
	Australia	<ul> <li>SIA's Diploma of Financial Services (Financial Planning)</li> <li>SIA's Diploma of Financial Services (Elective Stream A or B)</li> <li>SIA's Diploma of Financial Markets (with Securities elective)</li> </ul>	
	Canada	- CSI's Canadian Securities Course	
	Japan	<ul> <li>JSDA's Qualification Examination for Class-1 Sales Representatives</li> <li>JSDA's Qualification Examination for Margin Transaction Sales Representatives</li> </ul>	
	UK	<ul> <li>SII(UK) Level 3 Certificate in Investments (Securities)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment Management)</li> <li>SII(UK)'s Investment Advice Certificate</li> </ul>	
	USA	<ul> <li>NASD Series 7</li> <li>NASD Series 24</li> <li>NASD Series 23 + Series 9/10</li> <li>Chartered Financial Analyst Exam Level 1 Passed</li> </ul>	

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
5	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+9</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI PDFM Modules 4+5</li> <li>HKSI LE Paper 1</li> </ul>
	Australia	<ul> <li>SIA's Diploma of Financial Services (Financial Planning)</li> <li>SIA's Diploma of Financial Services (Elective Stream A or B)</li> <li>SIA's Diploma of Financial Markets (with Derivatives elective)</li> </ul>	
	Canada	<ul> <li>CSI's Futures Licensing Course</li> <li>CSI's Derivatives Fundamentals Course</li> </ul>	
	UK	<ul> <li>SII(UK) Level 3 Certificate in Investments (Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment Management)</li> <li>SII(UK)'s Investment Advice Certificate</li> </ul>	
	US	<ul> <li>NASD Series 3</li> <li>Chartered Financial Analyst Exam Level 1 Passed</li> </ul>	
6	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+11</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI PDFM Modules 4+5</li> <li>HKSI LE Paper 1</li> </ul>
	Canada	- CSI's Canadian Securities Course	
	Japan	<ul> <li>JSDA's Qualification Examination for Class-1 Sales Representatives</li> </ul>	
	UK	<ul> <li>SII(UK) Level 3 Certificate in Investments (Securities)</li> <li>SII(UK) Level 3 Certificate in Investments (Securities &amp; Financial Derivatives)</li> <li>SII(UK) Level 3 Certificate in Investments (Investment Management)</li> <li>SII(UK)'s Certificate in Corporate Finance</li> </ul>	
	US	<ul> <li>NASD Series 7</li> <li>NASD Series 24</li> <li>NASD Series 23 + Series 9/10</li> <li>Chartered Financial Analyst Exam Level 1 Passed</li> </ul>	

RA	Country	<b>Recognized Industry Qualifications</b>	Local Regulatory Framework Papers
9	Hong Kong	<ul> <li>HKSI DPE Papers 1+3</li> <li>HKSI LE Papers 7+12</li> <li>HKSI PDFM Modules 1+2+3+6+7</li> </ul>	<ul> <li>HKSI DPE Paper 2</li> <li>HKSI PDFM Modules 4+5</li> <li>HKSI LE Paper 1</li> </ul>
	Australia	<ul> <li>SIA's Diploma of Financial Services (Financial Planning)</li> <li>SIA's Diploma of Financial Services (Elective Stream A or B)</li> <li>SIA's Diploma of Financial Markets (with Managed Investment elective)</li> </ul>	
	Japan	<ul> <li>JSDA's Qualification Examination for Class-1 Sales Representatives (for investment portfolios consist of securities only)</li> </ul>	
	UK	<ul> <li>SII(UK) Level 3 Certificate in Investments (Investment Management)</li> <li>SII(UK)'s Investment Advice Certificate</li> </ul>	
	US	<ul> <li>NASD Series 7</li> <li>NASD Series 24</li> <li>NASD Series 23 + Series 9/10</li> <li>Chartered Financial Analyst Exam Level 1 Passed</li> </ul>	
10	Hong Kong	- HKSI LE Papers 7+10	- HKSI LE Paper 1

Note: 1) Qualifications and exams that are shaded are also applicable to responsible officer.
2) There is no competence requirement for a Type 7 (providing automated trading services) regulated activity.

## Key:

CSI	The Canadian Securities Institute (Canada)
DPE	HKSI Diploma Programme Examination
HKSI	Hong Kong Securities Institute
JSDA	Japan Securities Dealers Association (Japan)
LE	HKSI's Licensing Examination for Securities and Futures Intermediaries
NASD	The National Association of Securities Dealers, Inc. (USA)
PDFM	HKSI Professional Diploma in Financial Markets
SIA	The Securities Institute of Australia (Australia)
SII(UK)	Securities & Investment Institute (UK)
VTC	Institute of Professional Education And Knowledge of the Vocational Training Council
RA	Regulated Activity
Type 1	Dealing in Securities
Type 2	Dealing in Futures Contracts
Type 3	Leveraged Foreign Exchange Trading
Type 4	Advising on Securities
Type 5	Advising on Futures Contracts
Type 6	Advising on Corporate Finance
Type 7	Providing Automated Trading Services
Type 8	Securities Margin Financing
Type 9	Asset Management
Type 10	Providing Credit Rating Services

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