Diploma/Advanced Diploma qualifications for the advice sector

2011 Information for candidates

Incorporating:

NEW Diploma in Regulated Financial Planning
- Diploma in Financial Planning
- Advanced Diploma in Financial Planning

Meeting advisers' regulatory and professional qualification requirements

CII

www.cii.co.uk

“Working smarter means having all the help you can get.”

Join the growing community of professionals by becoming a member of the Personal Finance Society.

Statistics show that a member’s pass rate is higher than a non-member’s.

Members also benefit from our gap fill tool and resources to help them meet regulatory requirements.

Join up to get help passing exams:

- **Discounts** on learning materials, exams, seminars, study and revision days – membership can pay for itself
- **Free access** to an archive of exam guides for written exams
- **Recommended textbooks** and online fact files
- **Technical reference books** and newsletters
- **Networking and support** from other PFS members
- **Coaching** on exam technique and revision courses available free from many Local Institutes.

And ongoing support for your career:

- Use our world renowned designations – CertPFS, DipPFS, APFS, FPFS and Chartered Status
- News and regulatory updates
- Online career support centre

Membership from as little as £5.84 a month by Direct Debit.

UK tax-payers can claim income tax relief on membership fees.

To sign up please use the form enclosed, contact us on 020 8530 0852 or visit www.thepfs.org/join

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The Chartered Insurance Institute (CII) Professionalism in practice

As the premier professional body for the financial services profession, the CII promotes higher standards of integrity, technical competence and business capability.

With over 95,000 members in more than 150 countries, the CII is the world's largest professional body dedicated to this sector.

Success in CII qualifications is universally recognised as evidence of knowledge and understanding. Membership of the CII signals a desire to develop broad professional capability and subscribe to the standards associated with professional status.

The CII works with businesses to develop bespoke, company-wide solutions that ensure competitive advantage by enhancing employees' technical and professional competence.

Individually, CII's members are able to drive their personal development and maintain their professional standing through an unrivalled range of learning services and by adhering to the CII's Code of Ethics.

www.cii.co.uk

POSITIVE ABOUT DISABLED PEOPLE

INVESTORS IN PEOPLE

Contacting the CII

If you have any queries regarding the qualifications in this brochure please contact Customer Service.

The CII is committed to delivering a first-class service and, to this end, we welcome feedback on any aspect of your relationship with our organisation.

Please forward any views you may have on the service you receive, whether they are positive or otherwise.

We take all such comments seriously, answer them individually, and use them to help ensure that we continually improve the service we provide.

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Make the most of your career with CII qualifications

People complete CII professional qualifications for many reasons. For some achieving a CII Diploma and satisfying the RDR qualification requirements is the goal. Others are committed to reaching Chartered status – the highest level of professional achievement.

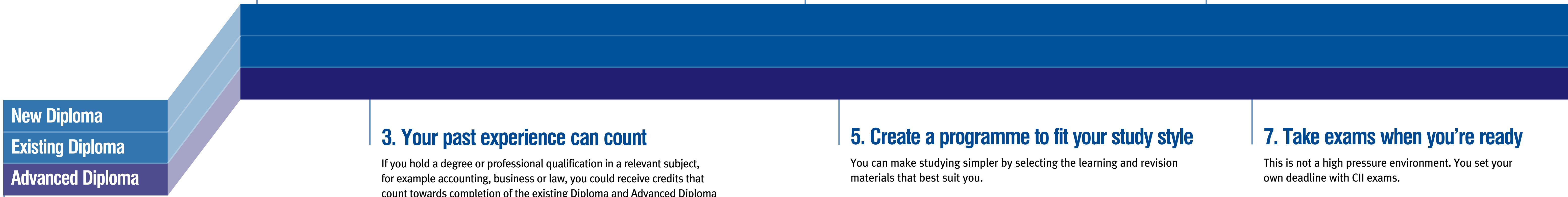
Whatever your reason for taking a CII qualification, let us guide you through all the options.

Getting started

Studying for a qualification can look pretty daunting, especially if you've been out of formal education for a while.

But there's no need to worry about making the right choice, the study time or the exams.

If you plan properly, and take advantage of all the support the CII has to offer, your journey should be a smooth one.



1. Choose the next step in your professional development

If you need to satisfy the RDR qualification requirements by completing a Level 4 qualification, there are two options to choose from: **the Diploma in Financial Planning** and the **Diploma in Regulated Financial Planning** – refer to page 6 for guidance on which is most appropriate for you.

Diploma completion also equips you with the essential technical knowledge needed should you choose to progress to the Advanced Diploma and Chartered Financial Planner status. It's also possible to study for both simultaneously.

To read more about both Diplomas and the Advanced Diploma, turn to page 8.

2. Become a member and enjoy special benefits

This is a hot tip. Joining the PFS gives you an advantage by creating a platform for your study.

It also gives you privileged access to technical information including an archive of past papers, online technical dictionaries, access to subsidised study group sessions and additional reference material building on the core qualification study texts. You also get discounts on CII study materials and exam entry.

And for holders of an RDR transitional qualification (AFPC, Associateship or Diploma/Advanced Diploma in Financial Planning) needing to top-up their qualification to the new RDR exam standard, the PFS and CII are making available a range of solutions from events to technical updates through to online learning. We are committed to providing members with sufficient free content to satisfy their potential compliance obligations.

Membership also supports you in your working life – see the inside front cover for more details.

3. Your past experience can count

If you hold a degree or professional qualification in a relevant subject, for example accounting, business or law, you could receive credits that count towards completion of the existing Diploma and Advanced Diploma qualifications. In doing so, you'll avoid duplicating learning already completed and obtain your CII qualification more quickly.

See the 'Recognition of prior learning' section on page 22.

4. Consider all options when choosing what units are right for you

Every qualification requires completion of a number of different units.

In the case of the existing Diploma and Advanced Diploma in Financial Planning you can self-select units according to the new regulatory qualification requirements for advisers and/or your sector specialism and career aspirations.

You are awarded credits for passing each unit, as you work towards the total required to pass your qualification.

Find out about the available units on pages 12–15.

5. Create a programme to fit your study style

You can make studying simpler by selecting the learning and revision materials that best suit you.

The right choice of learning materials can make a big difference. Exam results also reveal that a blended learning approach using a combination of learning and revision materials substantially increases your chance of first-time exam success.

Get the inside track on page 24.

6. Be an effective learner

Follow some simple steps and you'll stand the best chances of passing:

- Formulate a realistic study plan and stick to it
- Don't cram, study little and often
- Understand your subject by knowing the unit syllabus inside out
- Use a blend of learning and revision materials to improve understanding and recall.

7. Take exams when you're ready

This is not a high pressure environment. You set your own deadline with CII exams.

New Diploma exams are typically offered throughout the year, so pick your choice of time and location.

Existing Diploma and Advanced Diploma exams are available twice yearly in April and October. A third sitting in July is available for the majority of Diploma exams.

Get the dates for your diary on page 32.

Momentum makes it easier

Once you're in the habit of learning it's a good idea to keep it up. It's best not to leave it too long before moving on to the next unit, that way your knowledge remains fresh and your lifestyle is already aligned to learning.

If you have any questions not answered in this brochure, please call CII Customer Service on +44 (0)20 8989 8464.

overview

CII financial advice qualifications

Personal Finance Society/CII membership designation/title

Associate/APFS®; Chartered Financial Planner
290 credits (minimum of 120 at Advanced Diploma level and 40 at Diploma level or above. Certificate and Diploma credits are carried forward).

Fellow/FPFS®
350 credits are required.

Advanced Diploma in Financial Planning

(AF2) Business financial planning – 30 Credits	(AF4) Investment planning – 30 Credits	
(AF1) Personal tax and trust planning – 30 Credits	(AF3) Pension planning – 30 Credits	(AF5) Financial planning process – 30 Credits

DipPFS®

Diploma in Regulated Financial Planning:
Units R01–R06 compulsory (100 credits)

Diploma in Financial Planning:
140 credits (minimum of 80 credits at Diploma level or above. A maximum of 30 Advanced Diploma credits are allowed. Certificate credits are carried forward)

Diploma in Regulated Financial Planning/Diploma in Financial Planning

(R06) Financial planning practice – 30 Credits	(J06) Investment principles, markets and environment – 20 Credits	
(R05) Financial protection – 10 Certificate Credits	(J05) Pension income options – 20 Credits	
(R04) Pensions and retirement planning – 10 Credits	(J04) Pension funding options – 20 Credits	
(R03) Personal taxation – 10 Credits	(J03) The tax and legal aspects of business – 20 Credits	
(R02) Investment principles and risk – 20 Credits	(J02) Trusts – 20 Credits	
(R01) Financial services, regulation and ethics – 20 Credits	(J01) Personal tax – 20 Credits	(J07) Supervision in a regulated environment – 20 Credits

CertPFS®

70 credits
(units R01 or CF1, CF2, R05, CF4, CF5 compulsory)

Certificate in Financial Planning

(including Mortgage advice, Equity release, Long term care insurance and Group risk options)

(R05) Financial protection – 10 Credits		(GR1) Group risk – 10 Credits
(CF2) Investment and risk – 20 Credits	(CF5) Integrated financial planning – 15 Credits	(ER1) Equity release – 15 Credits
(CF1) UK financial services regulation and ethics – 15 Credits	(CF4) Retirement planning – 10 Credits	(CF8) Long term care insurance – 15 Credits
		(CF6) Mortgage advice – 20 Credits

Guidance notes:

Entry requirements

- There are no entry requirements for any of the qualifications detailed above.

  However, the Diploma in Financial Planning will only be awarded where the Certificate in Financial Planning (or equivalent) is held. The Advanced Diploma in Financial Planning will only be awarded where the Certificate in Financial Planning (or equivalent) or the Diploma in Regulated Financial Planning is held.

  We recommend that candidates complete either Diploma before entering for the Advanced Diploma or alternatively study for them both simultaneously.

Other credit awards

Diploma/Advanced Diploma in Financial Planning:

- Credits can also be obtained in respect of Certificate in Financial Administration units (FA1) Life office administration and (FA2) Pensions administration – 10 Certificate level credits are awarded in each case.
- Credits may also be available in respect of other exams passed under discontinued CII qualification routes or comparable exams offered by other awarding bodies (see page 22 for details). Credits in respect of all CII exams passed are automatically added to candidates' 'Learning Accounts' which can be requested online at **www.cii.co.uk/learningstatement**

To claim credits in respect of other non-CII exams passed please complete and return the 'Individual recognition of prior learning' form available online at **www.cii.uk.co.uk/prior-learning**.

Diploma in Regulated Financial Planning:

At the time of going to print credit awards towards the Diploma in Regulated Financial Planning are limited to withdrawn units (CF3) Financial protection and (J08) Financial planning practice, in respect of (R05) Financial protection and (R06) Financial planning practice, respectively.

Use of designations/titles

Membership and Continuing Professional Development requirements apply to their use.

Full terms and conditions

Full details on the Diploma in Regulated Financial Planning and Diploma/Advanced Diploma in Financial Planning can be found within this brochure. Details on the Certificate qualifications/examinations can be found at **www.cii.co.uk/fs-qualifications**

Meeting the RDR qualification requirements: CII Diplomas

The FSA's Retail Distribution Review (RDR) plans to improve public trust and confidence in the financial advice sector by bringing about a step-change in professional standards for financial advisers.

These include an increase in the minimum level of benchmark qualification to be held by advisers, requiring the holding of a QCF (Qualifications and Credit Framework) approved Level 4 qualification. The deadline for compliance is the end of 2012 for the majority of advisers.

To support the advice profession in meeting this target, the CII has developed three routes to completion:

- New Diploma in Regulated Financial Planning
- Existing Diploma in Financial Planning
- Alternative Assessment (planned live date March 2011).

Choosing your most appropriate study route

The following guidance suggests a range of study routes for individuals wishing to meet the new RDR qualification requirements.

These take into account factors such as:

- maximising compliance with the new exam standards while minimising any qualification gap fill requirement;
- completing in the minimum number of exam units; and
- ensuring full recognition for any relevant examinations already held (if you have previously studied with the CII you can obtain details of the credits that you hold by going to **www.cii.co.uk/learningstatement**)

Remember that these are only guidelines and you should select the most appropriate course of action for your personal circumstances.

Further details on each of these options can be found in the following pages.

Starting point	Route	Why?
New industry entrant	New Diploma	Regulatory requirement to pass new Diploma Meets new FSA/FSSC exam standards in full
Financial Planning Certificate (pre-'94 two exam scheme) holders only	New Diploma	Pass all 6 new Diploma R0 units to complete, satisfying the FSA/FSSC exam standards in full Requires 100 credits to complete (existing Diploma would require 108 credits) R0 units (except R06) are multiple choice tested so available to sit year round at 60 centres
Financial Planning Certificate (post-'94 three exam scheme) holders only	Existing Diploma	Can complete using 5 of the new Diploma R0 units (or existing Diploma J0 units) as existing qualification provides credits towards completion Using R0 units reduces substantially any qualification gap fill requirement R0 units (except R06) are multiple choice tested so available to sit year round at 60 centres
Certificate in Financial Planning holders only	Existing Diploma	Can complete using 4 of the new Diploma R0 units (or existing Diploma J0 units) as existing qualification provides credits towards completion Using R0 units reduces substantially any qualification gap fill requirement R0 units (except R06) are multiple choice tested so available to sit year round at 60 centres
FPC or Certificate in Financial Planning holders with additional relevant prior learning	Existing Diploma	Gain recognition for existing learning, CII and non-CII, towards completion, reducing the number of exams required to complete Using R0 units reduces substantially any qualification gap fill requirement R0 units (except R06) are multiple choice tested so available to sit year round at 60 centres

Alternative Assessment

The alternative assessment option is designed for experienced advisers seeking a non-examination route to meeting the new Level 4 qualification requirements. Individuals opting for this will need to demonstrate achievements of all the learning outcomes for the new exam standards.

The detail of this qualification route is still being finalised, but will typically involve one-to-one personal assessment and a three-stage process:

- **Pre-assessment diagnostic tool** – free access, to ensure the adviser understands the requirements and what will be involved
- **Evidence submission** – portfolio of evidence, details of qualifications held and CPD undertaken to demonstrate prior learning
- **Assessment day** – to include: a short knowledge test, professional discussion, case studies and a technical interview with an independent assessor to establish equivalent knowledge and skills levels.

This will be an intensive assessment, only suitable for advisers who have a full and detailed understanding of the new exam standards and who are able to demonstrate this knowledge. It is also the most expensive option at £1,950 due to the high level of resource required to conduct this assessment in a single day.

On successful completion, the Diploma in Regulated Financial Planning will be awarded.

Interested in finding out more?

To receive information at launch in March 2011, please register your interest by visiting **www.cii.co.uk/register** and we will send you details at the appropriate time.

overview

The FSA's Retail Distribution Review (RDR) plans to improve public trust and confidence in the sector by bringing about a step-change in professional standards for financial advisers.

These include an increase in the minimum level of benchmark qualification to be held by advisers, requiring the holding of a QCF (Qualifications and Credit Framework) approved Level 4 qualification. The deadline for compliance is the end of 2012 for the majority of advisers (those with competent adviser status as at 30.06.2010).

This brochure provides details of the Diploma in Regulated Financial Planning and Diploma and Advanced Diploma in Financial Planning.

You can study for a Diploma qualification and then, should you choose, progress to the Advanced Diploma, or you can study for both qualifications simultaneously by pursuing particular subject streams, e.g. pensions, across both qualifications (see page 14).

Diploma/Advanced Diploma qualifications for the advice sector

Diploma in Regulated Financial Planning

This new qualification has been created to meet the new FSA exam standards (Qualifications and Credit Framework Level 4) in full. It fully reflects feedback and discussion with the market with regards to the format, availability and exam methodology.

The Diploma in Regulated Financial Planning is suitable both for new entrants and experienced advisers seeking to meet the requirements of the RDR. Guidance on those for whom it is appropriate can be found on page 6. It is the new benchmark qualification for advisers.

The Diploma in Regulated Financial Planning covers the six required subject areas identified by the FSA/FSSC:

- Financial services, regulation and ethics
- Investment principles and risk
- Personal taxation
- Pensions and retirement planning
- Financial protection
- Financial planning practice.

To complete the Diploma in Regulated Financial Planning you need to pass all six units. Holders of the first unit, (R01) Financial services, regulation and ethics, are authorised to advise under supervision while they work towards completion of the full Diploma.

The Diploma in Regulated Financial Planning is modular in structure, with 5 of the 6 units being multiple-choice tested and therefore examined year-round. The sixth, the planning unit R06, is examined 6 times a year.

This enables candidates to build a study programme around known commitments and busy periods.

Results for the multiple-choice examinations are released immediately on completion, with results released in four weeks for the written exam.

Upon completion candidates will be awarded the Diploma in Regulated Financial Planning. PFS members are entitled to use the designation DipPFS® (Continuing Professional Development requirements apply).

Credits obtained in completing the Diploma can also be used towards the Advanced Diploma in Financial Planning, leading to Chartered Financial Planner status.

Diploma in Financial Planning

The Diploma in Financial Planning is a tried-and-tested qualification. Over 30,000 individuals have passed it or are working towards completion.

It is what the FSA has termed a 'transitional qualification' in that holders will satisfy the RDR qualification requirements, with any short-fall between the coverage of this qualification and the new exam standards to be met through 'Qualification gap fill'. Guidance on those for whom the Diploma is appropriate can be found on page 6.

The Diploma in Financial Planning develops advanced technical knowledge and understanding across a broad range of key advisory areas, with over 20 units in total from which to build a study programme.

Modular in structure, with no compulsory units, the Diploma allows you to develop a learning programme that reflects your personal circumstances.

For maximum flexibility candidates enrolled for the existing Diploma in Financial Planning will also have access to the new Diploma in Regulated Financial Planning exam units (see above). The advantage in sitting the new Diploma units is that these meet the new exam standards in full; this means there will be no 'knowledge gap' between these and the new FSA/FSSC exam standards that will need to be addressed through 'Qualification gap fill' before the 2012 deadline.

Please note that the original Diploma J0 units remain particularly relevant if you are thinking of subsequently progressing to the Advanced Diploma in Financial Planning and attaining Chartered Financial Planner status because of the comprehensive manner in which they cover each subject area, providing a natural bridge between previous Certificate benchmark qualifications and the Advanced Diploma qualification. They may also cover particular subjects in greater depth than covered through the R0 units, making it the most appropriate choice taking into account your current job requirements or career aspirations.

Upon completion candidates will be awarded the Diploma in Financial Planning. PFS members are entitled to use the designation DipPFS® (Continuing Professional Development requirements apply).

You will also be able to use the credits obtained in achieving the Diploma towards the Advanced Diploma in Financial Planning, leading to Chartered Financial Planner status.

Advanced Diploma in Financial Planning

The Advanced Diploma in Financial Planning enables professional advisers to develop their specialist planning capabilities, providing clear differentiation from the main body of advisers.

It builds on existing skills and develops knowledge gained through previous study and workplace training. It consolidates and advances work already undertaken, most typically in completing the Diploma in Financial Planning, the first completion level of the AFPC or the Diploma in Regulated Financial Planning (all of which carry the membership designation DipPFS®).

The Advanced Diploma covers topics key to all financial planners:

- Personal tax and trust planning
- Business financial planning
- Pension planning
- Investment planning
- Financial planning process.

Note: As with the Diploma in Financial Planning, the Advanced Diploma is also an RDR 'transitional qualification'. See the Diploma section above for details.

On completion of the Advanced Diploma you will be better prepared to offer a sophisticated and comprehensive approach to financial management, ensuring that you provide your clients with a level of service that meets or exceeds their expectations.

Upon completion of the Advanced Diploma PFS members are entitled to use the designation APFS® (Continuing Professional Developments requirements apply) and will also be eligible for Chartered Financial Planner status (subject to having five years' experience, not necessarily post-qualification).

Chartered status cements your professional standing and gives you parity with other professionals such as accountants and solicitors.

The CII also offers corporate Chartered status to qualifying financial advice firms, further enhancing the visible professionalism of the advice sector. The eligibility criteria for corporate Chartered status includes a specified number of directors holding individual Chartered status in their own right (see **www.cii.co.uk/chartered** for further information).

As an individual, obtaining Chartered status can therefore deliver many advantages in terms of career and business advancement.

PFS Fellowship

Those wishing to continue their studies can also work towards Fellowship of the Personal Finance Society. A total of 350 credits are required to obtain the fellowship, this must include obtaining 290 credits through completion of the Advanced Diploma in Financial Planning (see page 14 for details). The remaining 60 credits can come from any of the examinations offered within the CII financial services qualifications framework.

BS ISO 22222

The CII was the first UK professional body to be approved to certify the British Standard ISO 22222 Financial Planner Certification.

BS ISO 22222 certification demonstrates that a financial planner has:

- achieved an internationally-recognised level of competence in the six identified stages of the financial planning process;
- completed relevant CPD; and
- adheres to an ethical code of conduct.

BS ISO 22222 is a valuable and practical measure of a financial planner's ability to perform his or her role to an objectively measured standard of capability and competence. It also supports the adviser's business by demonstrating the quality of the processes and procedures in place.

In addition to being a public statement of planning competence, successful completion provides an exemption in respect of the compulsory unit requirement for this qualification (AF5) Financial Planning Process.

For full details go to **www.cii.co.uk/iso22222**

overview

Diploma/Advanced Diploma qualifications for the advice sector

Why CII Diploma/Advanced Diploma qualifications?

These qualifications deliver many advantages:

- They meet the RDR qualification requirements for advisers to hold a Level 4 qualification (the new Diploma meets the new exam standards in full; with the existing Diploma/Advanced Diploma any gap can be addressed through Qualification gap fill), enabling advisers to practise.
- They support lifelong learning as credits awarded in respect of relevant study undertaken are retained throughout your working life and can count towards completion of the Advanced Diploma/ Fellowship.
- They support personalised learning activity through the provision of clearly-defined, targeted topics appropriate to your job role.
- The Advanced Diploma can differentiate you from other financial advisers, developing enhanced technical knowledge and sophisticated financial planning skills, in turn providing a competitive edge.
- Upon completion PFS members are entitled to use the market's leading designations. In the case of the Diplomas it is 'DipPFS®'; with the Advanced Diploma it is 'APFS®'. These are respected throughout the sector and increasingly acknowledged by the public as demonstrating professional standing (Continuing Professional Development requirements apply).
- Advanced Diploma-holders can apply to become Chartered Financial Planner title-holders, demonstrating their commitment to learning and personal development, and assisting with career progression.

Are CII Diploma/Advanced Diploma qualifications right for me?

These qualifications are appropriate for:

- Advisers holding FPC, Certificate in Financial Planning or equivalent seeking to meet the RDR qualification requirements.
- Anyone who gives financial advice to clients, including independent financial advisers, tied advisers, bancassurance advisers, para-planners, accountants, lawyers, and staff in related support roles.
- Accountants, lawyers, actuaries and other staff carrying out financial planning activities.
- Financial planning staff wishing to build upon their existing planning skills and progress to the highest financial planning qualifications and designations (Associateship/APFS®, Fellowship/FPFS® and Chartered status).

Qualification gap fill

The FSA recognises specified existing 'transitional qualifications' as satisfying the new RDR qualification requirements. These include the Diploma/Advanced Diploma in Financial Planning, Advanced Financial Planning Certificate (AFPC) and Associateship (ACII). A full listing can be found in the FSA Consultation Paper CP 10/14 on the FSA website: **www.fsa.gov.uk**

Holders of these qualifications will need to bridge any knowledge gap between their qualification and the new FSA/FSSC exam standards by the qualification deadline of the end of 2012.

To assist advisers in bridging this gap, the CII and PFS have developed a comprehensive **member-only** qualification gap fill programme.

This comprises:

- **Diagnostic tool** – this enables members to map the knowledge gaps between the CII exams they hold and the new FSA/FSSC exam standards, so it is clear exactly what areas need to be addressed. You are also able to maintain a full record of additional compliance activity undertaken, through the self-recording function, to ensure compliance with the new exam standards. CII/PFS members can access the tool at **www.cii.co.uk/gap-fill**
- **Solutions** – the market's widest programme of targeted solutions to address identified gaps. These take a range of forms from online learning, webinars, technical updates and events delivered by the CII and PFS. We are committed to providing members with sufficient free content to satisfy their potential compliance obligations.

You can access further information on qualification gap fill at **www.cii.co.uk/rdr**

Office of Qualifications and Examinations Regulation (Ofqual) accreditation

Ofqual is the regulator of qualifications, exams and tests in England. They are also the regulators for recognised awarding bodies (such as the CII). Both Diplomas are accredited with Ofqual at Level 4 in the Qualifications and Credit Framework (QCF). The Advanced Diploma is accredited with Ofqual at Level 6. For further information, please refer to the Ofqual website at **www.ofqual.gov.uk**

Funding may be available for candidates studying for qualifications listed in the Qualifications and Credit Framework (QCF). For further details, please refer to the Skills Funding Agency website at **www.skillsfundingagency.bis.gov.uk**

Note: For Ofqual accredited qualifications, the regulatory authorities' logo(s) on the certificate indicate that the qualification is accredited only for England, Wales and Northern Ireland.

Your next step

Now that you have read about the Diplomas/Advanced Diploma in Financial Planning, gained an understanding of what they offer and decided on the study route that meets your career development plans, it is time to finalise your entry.

The following pages contain all the information you require to study for and complete these qualifications. As you read through these, you will learn about the units on offer, the available learning materials, course and exam entry dates and deadlines, terms and conditions relating to entry, and the different ways you can enter.

Please take time to read this, as it will help you choose the study programme that best fits your needs.

You can also access FAQs at **www.cii.co.uk/faq** entry/completion

What does each qualification involve?

Diploma in Regulated Financial Planning

Entry requirements

There are no entry requirements in respect of any of the Diploma in Regulated Financial Planning units, R01–R06.

Completion requirements

To complete the Diploma you are required to pass 6 units, R01–R06, in turn obtaining 100 credits.

The following units are available:

Diploma in Regulated Financial Planning units	Credits and level
(R01) Financial services, regulation and ethics	20 – Diploma
(R02) Investment principles and risk	20 – Diploma
(R03) Personal taxation	10 – Diploma
(R04) Pensions and retirement planning	10 – Diploma
(R05) Financial protection	10 – Certificate
(R06) Financial planning practice	30 – Diploma

Diploma in Financial Planning

Entry requirements

There are no entry requirements in respect of any of the units which count towards the Diploma.

However, the Diploma in Financial Planning will only be awarded where you hold the Certificate in Financial Planning, or equivalent (such as FPC, or Investment Advice Certificate).

In many instances candidates choose to study for the Diploma and Advanced Diploma at the same time. See overleaf for details.

Completion requirements

To complete the Diploma you need to:

- Accumulate a minimum of **140 credits.**
- At least **80 credits** must be at **Diploma level (units J01–J07 and R01–R04 and R06)**. The following can also count towards this requirement:
  - Advanced Diploma level credits from withdrawn AFPC units;
  - One Advanced Diploma in Financial Planning unit (AF1–AF5) **or** a maximum of 30 non-specific Advanced Diploma credits.
- The remaining **60 credits** must come from any of the examinations offered within the CII financial services qualifications framework, as listed opposite (see overleaf for Advanced Diploma units AF1–AF5), or comparable offered by other awarding bodies.

Notes:

- See page 22 for details of the completion rules which apply in respect of recognition of prior learning.
- See overleaf for details of units treated as equivalent.

In addition to the R0 units listed above, candidates studying towards the Diploma in Financial Planning have access to the following units:

Diploma in Financial Planning units	Credits and level
(J01) Personal tax	20 per unit – Diploma
(J02) Trusts	
(J03) The tax and legal aspects of business	
(J04) Pension funding options	
(J05) Pension income options	
(J06) Investment principles, markets and environment	
(J07) Supervision in a regulated environment	

Certificate in Financial Planning/Certificate in Mortgage Advice/Certificate in Equity Release/ Certificate in Financial Administration units	Credits and level
(CF2) Investment and risk	20 – Certificate
(CF5) Integrated financial planning	15 – Certificate
(CF6) Mortgage advice	20 – Certificate
(CF8) Long term care insurance	15 – Certificate
(ER1) Equity release	15 – Certificate
(GR1) Group risk	10 – Certificate
(FA1) Life office administration	10 – Certificate
(FA2) Pensions administration	10 – Certificate

Note: The Certificate in Insurance unit (IF7) Healthcare insurance products, can be used towards completion of the Diploma and Advanced Diploma in Financial Planning. This covers the fundamental principles and practices relating to healthcare insurance, and provides 15 Certificate level credits on completion. See the Certificate/Diploma/Advanced Diploma in Insurance brochure ref ICF005 (11/10) for details.

Credits awarded for commonly held financial planning qualifications include:

Qualifications	Credits and level
Certificate in Financial Planning	70 – Certificate
Financial Planning Certificate (1994 scheme – including unit FP3)	50 – Certificate
Financial Planning Certificate (pre-1994 scheme – excluding unit FP3)	32 – Certificate

What does each qualification involve?

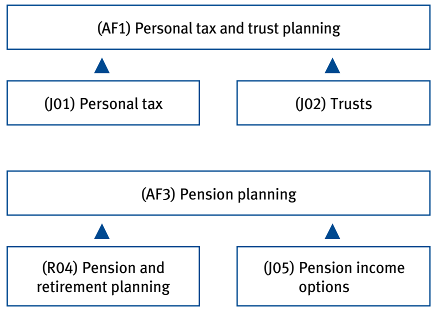
Advanced Diploma in Financial Planning

Entry requirements

There are no entry requirements in respect of the Advanced Diploma in Financial Planning. However, the Advanced Diploma will only be awarded where you hold the Certificate in Financial Planning, or equivalent (such as FPC, CeFA or Investment Advice Certificate) or the Diploma in Regulated Financial Planning.

The Diploma qualifications provide the essential technical knowledge required when completing the Advanced Diploma.

For this reason it is strongly recommended that, if you have not already done so, you complete a Diploma qualification before tackling the Advanced Diploma or that you study the two simultaneously, typically following subject streams such as those set out opposite.



Completion requirements

To complete the Advanced Diploma you need to:

- **Obtain 290 credits:**
- A minimum of **120** of these must come from **Advanced Diploma** units, as shown in the table opposite (where you already hold Advanced level credits from the withdrawn AFPC qualification scheme these will count towards this requirement). These must include the compulsory unit (AF5) Financial planning process (holders of the following or equivalent satisfy the AF5 requirement: AFPC unit (H25) Holistic financial planning, ISO 22222 (see page 9) or Certified Financial Planner – individual recognition of prior learning application is required in respect of ISO 22222 and Certified Financial Planner, see page 22 for details).
- A further **40** must be at **Diploma level** or **above.**
- The remaining credits can come from a combination of the available financial services units as listed on page 12.

The following Advanced Diploma units are available:

Advanced Diploma in Financial Planning units	Credits and level
(AF1) Personal tax and trust planning	30 per unit – Advanced Diploma
(AF2) Business financial planning	
(AF3) Pension planning	
(AF4) Investment planning	
(AF5) Financial planning process – **compulsory**	

Notes:

- See page 22 for details of the completion rule which applies in respect of recognition of prior learning.
- The passing of certain combinations of units, including units which may now have been withdrawn, will result in only one award of credits. Please refer to the table below for details.

Full details on all the non-Diploma/Advanced Diploma in Financial Planning units can be found within the following 'Information for candidates brochure' (available online at **www.cii.co.uk/cert-financialplanning** or from Customer Service):

Certificate qualifications for the financial services sector – Ref ICF013 (11/10)

Credit awards for equivalent units

Due to the extent of syllabus overlap, certain combinations of units will result in only one award of credits.

Where two equivalent units are held, the higher of the two credit figures will be added to your CII Learning Account. However, should you wish, you may still choose to sit an 'overlapping' unit in order to enhance your knowledge. Units affected are shown opposite.

Withdrawn units treated as equivalent to current units:

Withdrawn unit title	Credits and level	Current unit title	Credits and level
(G30) Business financial planning	30 – Advanced	(J03) The tax and legal aspects of business	20 – Diploma
(G70) Investment portfolio management	30 – Advanced	*(J06) Investment principles, markets and environment	20 – Diploma
(H15) Supervision and sales management	30 – Advanced	(J07) Supervision in a regulated environment	20 – Diploma
(H25) Holistic financial planning	30 – Advanced	(AF5) Financial planning process	30 – Advanced
(J08) Financial planning practice	30 – Diploma	(R06) Financial planning practice	30 – Diploma
(SV1) Savings and investments	20 – Diploma	(CF2) Investment and risk	20 – Certificate (Diploma if completed prior to 2007)
(MAQ) Mortgage Advice Qualification	20 – Diploma	(CF6) Mortgage advice	20 – Certificate (Diploma if completed prior to 2007)
(CF7) Lifetime mortgage activities	15 – Certificate (Diploma if completed prior to 2007)	(ER1) Equity release	15 – Certificate
(HR1) Home reversion plans	5 – Certificate		
(CF3) Financial protection	10 – Certificate	(R05) Financial protection	10 – Certificate

* **Note:** Whilst J06 and G70 are treated as equivalent in the CII qualifications framework, J06 is not an appropriate examination in respect of the regulated activity of discretionary fund management. For details of FSSC appropriate examinations see **www.fssc.org.uk**

Current units treated as equivalent (see important note below):

Current unit title	Credits and level	Current unit title	Credits and level
(J01) Personal tax	20 – Diploma	(R03) Personal taxation	10 – Diploma
(J04) Pension funding options	20 – Diploma	(R04) Pensions and retirement planning	10 – Diploma
(J06) Investment principles, markets and environment	20 – Diploma	(R02) Investment principles and risk	20 – Diploma

Important note: as the Diploma in Regulated Financial Planning is an FSA regulated qualification, all learning outcomes must be matched in order for an exemption to be given against its units. At the time of going to print it is the case that currently only units CF3 and J08 have this degree of learning outcome match against the comparable new units, R05 and R06, respectively.

What does each qualification involve?

The mechanics of entering for Diploma/Advanced Diploma units

There is no prescribed order in which units must be taken. And in the case of the Diploma and Advanced Diploma in Financial Planning you select those most appropriate to your learning needs. You may sit as many exams as desired at a single sitting, although we recommend that no more than two Diploma/Advanced Diploma units per session are taken.

If studying towards the Advanced Diploma, we recommend that unit (AF5) Financial planning process should be completed last, as this tests skills developed through completion of the other Advanced Diploma units.

The recommended minimum study hours shown opposite will vary according to your experience and ability. The nominal pass mark is also shown. However, the actual pass mark may vary slightly from one session to another to ensure that the pass standard remains constant.

Units	Study hours per unit	Exam format	Length of exam	Nominal pass mark	Exam sessions	Results notification
J01–J07	100	15 compulsory written short answer questions	2 hours	55%	April/July*/October	9 weeks
R01, R02	60	100 multiple choice questions (MCQ)	2 hours	R01–R04: 65%, R05: 70%	Year-round	Immediate notification of results
R03–R05	50	50 multiple choice questions (MCQ)	1 hour			
R06	100	2 written case studies on financial planning practice. Candidates receive the 2 written case studies two weeks before the exam.	3 hours	55%	January/April/June/July/October/November	4 weeks
AF1–AF4	150	Case study approach. 160 marks spread over three compulsory questions. Marks for questions 2 and 3 may vary between examination sessions. • Question 1 – 80 marks • Question 2 – 35–45 marks • Question 3 – 35–45 marks	3 hours	55%	April/October	9 weeks
AF5	150	Candidates receive a 'fact find' two weeks before the examination. The examination tests key aspects of the financial planning process as applied to the client scenario.				

* **Units J03 and J07 are not available at the July exam session.**

> We place the highest value on the CII's Diploma in Financial Planning. This is demonstrated by our active encouragement, management and support for our people to gain this qualification and the level of technical knowledge it brings. The new RDR-focused units only add to this, providing our people with greater flexibility in achieving the qualification and meeting RDR requirements. Of equal importance to meeting the regulatory requirements is the ability to help our people to Advanced Diploma and Chartered status.

Scott Bennett
Senior Proposition Development Manager
HSBC

coverage

What does each qualification cover?

Diploma/Advanced Diploma exams are based on the published syllabuses, which are in themselves important aids to exam preparation and revision. It is essential that you familiarise yourself with these before commencing study.

These set out the learning outcomes for each unit and the depth of knowledge expected of you in the exam.

The syllabuses also identify published material designed to assist you in preparing for exams under the following headings: reading list, reference materials and periodicals.

Summary syllabuses are provided opposite and overleaf. To obtain full syllabuses free of charge, visit www.cii.co.uk/fs-qualifications

Diploma in Regulated Financial Planning units

(R01) Financial services, regulation and ethics

At the end of this unit candidates will be able to demonstrate their knowledge, understanding and skill in applying the following topic areas:

- the UK financial service industry in its European and Global context;
- how the retail customer is served by the financial service industry;
- the FSA's regulatory framework, powers and responsibilities to protect the consumer;
- the legal concepts and considerations relevant to financial advice;
- the Code of Ethics and its impact on the business behaviours of individuals.

(R02) Investment principles and risk

At the end of this unit candidates will be able to demonstrate their knowledge, understanding and skill in applying the following topic areas:

- the characteristics, inherent risks, behaviour and correlation of asset classes, and investment products;
- the macro-economic environment and its impact on asset classes;
- the merits and limitations of the main investment theories;
- the nature and impact of the main types of risk on investment performance;
- the performance of investments.

(R03) Personal taxation

At the end of this unit candidates will be able to demonstrate their knowledge, understanding and skill in applying the following topic areas:

- the basic structure of the UK tax system;
- the main taxes on income and capital that may be charged on individuals and trusts, the self assessment system and how tax liabilities are computed;
- the taxation of investments as relevant to the needs and circumstances of individuals and trusts.

(R04) Pensions and retirement planning

At the end of this unit candidates will be able to demonstrate their knowledge, understanding and skill in applying the following topic areas:

- the main tax and legal frameworks applicable to pension schemes;
- the features of defined contributions and defined benefit pension schemes;
- state retirement benefits including risks and suitability of contracting out;
- the aims and objectives of retirement planning including relevant investment issues.

(R05) Financial protection

At the end of this unit, candidates should be able to demonstrate their knowledge and understanding of the following topic areas:

- the purpose and scope of financial protection products;
- the role and limitations of State benefits;
- the main features and functions of the different types of financial protection products.

(R06) Financial planning practice

This unit aims to help advisers develop and demonstrate their financial planning capabilities. It tests the practical application of technical knowledge and planning skills already gained through previous study, thereby supporting the provision of competent and appropriate advice.

On completion of this unit, candidates should be able to:

- establish client aims, objectives and risk profile;
- conduct a fact-find;
- analyse client data;
- formulate the financial plan and make recommendations;
- monitor client circumstances.

Diploma in Financial Planning units

(J01) Personal tax

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the basic structure of the tax system and self-assessment;
- when and how Income Tax is applied to different types of income;
- when and how National Insurance contributions apply to employed and self-employed income;
- when and how Capital Gains Tax applies to an individual's gains;
- the tax treatment of different kinds of investments;
- when and how Inheritance Tax applies;
- the impact of an individual's residence and domicile status on liability to UK tax.

(J02) Trusts

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the structure of a trust and the role of the settlor, trustees and beneficiaries;
- how trusts are created, the rules that govern them and their main uses;
- the rules covering the investment of trust assets and the administration of trusts;
- substituted decision making, the impact of loss of mental capacity and related procedures;
- the consequences of making a will and of dying intestate;
- the bankruptcy rules and the role of the trustee in bankruptcy;
- how trusts are subject to tax and how a liability can fall to the settlor, trustees or beneficiaries;
- how life assurance policies and certain pension benefits can be placed in trust and the tax and other implications;
- the need to review trusts regularly.

(J03) The tax and legal aspects of business

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the main legal forms of business in the UK;
- the main principles of business accounting and the interpretation of accounts for each of the main legal forms of business;
- the main internal and external options for financing a business;
- the impact of employment law on business;
- the main principles of business protection insurance;
- the principles and application of the following taxes and allowances in the business context:
  - Income Tax;
  - National Insurance contributions;
  - Corporation Tax;
  - Capital allowances;
  - Value Added Tax;
  - Capital Gains Tax;
  - Inheritance Tax.

(J04) Pension funding options

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the HM Revenue and Customs (HMRC) tax regime for pensions with particular reference to the accumulation of retirement funds;
- the State retirement benefits available, including the risks and suitability of contracting out of the State Second Pension;
- the legal framework for pensions;
- the features of defined contribution pension schemes;
- the features of defined benefit pension schemes;
- the choices faced by early leavers and the use of transfer value analysis;
- the key issues in pension accumulation.

(J05) Pension income options

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the rules that apply to retirement benefits at the date that they are crystallised;
- in detail the features, tax treatment and risks of the secured pension option;
- in detail the features, risks and tax treatment of the unsecured pension available up to age 75;
- in detail the features, risks and tax treatment of phased retirement up to age 75;
- in detail the features, risks and tax treatment of the alternatively secured pension available at age 75;
- the use of the critical yield in advising on Income Withdrawal and its implications for investment;
- the benefits available when an investor is in ill health;
- the State retirement benefits available;
- the issues in giving initial and ongoing advice on taking pension benefits to clients.

(J06) Investment principles, markets and environment

At the end of this unit, candidates should be able to demonstrate an understanding of:

- fundamental economic issues;
- the main principles of portfolio risks and returns;
- how to establish client objectives and constraints;
- the main principles governing how to construct an investment portfolio;
- the risks and returns of cash, debt investments, equities and property;
- the risks and returns from alternative investments and derivatives;
- the portfolio construction process and asset allocation;
- how to assess investment portfolio performance and investment management services.

(J07) Supervision in a regulated environment

At the end of this unit, candidates should be able to demonstrate an understanding of:

- the characteristics and role of a supervisor;
- different leadership and behavioural models;
- how communication is made effective and be able to describe a range of communication methods;
- the legal and regulatory aspects of training and competence;
- how learning takes place;
- the coaching, counselling and assessing processes and the roles within them;
- the role of compliance in the sales process;
- the setting and measuring of objectives;
- management information and quality standards;
- relevant legislation in connection with employment, performance management and termination of employment.

Notes:

- **Syllabuses are examined from 01 September until 31 August each year.**
  - **R0 units: The tax year 2010/2011 will be examined until 31 August 2011. The tax year 2011/2012 will be examined from 01 September 2011.**
  - **J0 units: The tax year 2010/2011 will be examined in the October 2010, April and July 2011 sessions. The tax year 2011/2012 will be examined in the October 2011 and April 2012 sessions.**
- **Updated study options and revision aids will be made available in July 2011 in support of this syllabus change.**

See guidance notes on pages 24 for further details.

What does each qualification cover?

Advanced Diploma in Financial Planning units

(AF1) Personal tax and trust planning

At the end of this unit, candidates will be able to advise clients on a range of taxation and trust issues, including:

- basic structure of the tax system and self assessment;
- main taxes on income and capital that may be charged on individuals, the self assessment system and how tax liabilities are computed;
- tax planning considerations in respect of main social security benefits and the impact of different types of income on such benefits;
- National Insurance, how it is calculated and applied;
- tax treatment of different kinds of investments;
- impact of residence and domicile on an individual's liability to UK tax;
- legal principles associated with the creation and management of a trust;
- main types of trusts that are common in the UK;
- powers and duties of trustees including different types of power of attorney, the procedures for establishing a power of attorney and the implications of doing so;
- consequences of making a will and dying intestate;
- bankruptcy rules and the role of the trustee in bankruptcy;
- taxation considerations relevant to trusts.

(AF2) Business financial planning

At the end of this unit, candidates will be able to advise clients on a range of business planning issues, including:

- the main legal forms of business;
- the consequences of bankruptcy or insolvency;
- business accounts and financial controls;
- taxation of business entities, its owners and employees;
- main legal responsibilities businesses have to employees, suppliers and customers;
- main principles of business protection insurance, including key person insurance, share protection insurance and partnership protection insurance;
- the main uses of pensions for business planning.

(AF3) Pension planning

At the end of this unit, candidates will be able to advise clients on a range of pension planning issues, including:

- HM Revenue & Customs tax regime for pensions;
- legal framework of pensions;
- features and risks of defined contributions and defined benefit pension schemes;
- State retirement benefits;
- choices facing early leavers, transfer value analysis and transfer advice;
- various options for drawing income – their features, risks and tax treatment;
- different needs and solutions available to personal and corporate customers.

(AF4) Investment planning

At the end of this unit, candidates will be able to advise clients on a range of investment issues, including:

- economic environment and its impact on investment performance and investment decision making;
- main features, risks and returns of direct financial investments, collective investments and other investments;
- individual company performance and company accounts;
- measurement and management of risk and returns;
- main principles governing how to construct an investment portfolio;
- range of investment management services, how their performance is evaluated, and their regulatory environment.

(AF5) Financial planning process

At the end of this unit, candidates will be able to apply the financial planning process to a complete client scenario, including:

- understanding of the relationship and responsibilities between adviser and client and the need to establish the scope of the planning brief;
- evaluation of the different remuneration strategies available and how they might suit the different services required by clients;
- understanding and evaluation of the client's financial objectives, including the importance of prioritising those financial objectives;
- understanding of the assumptions underlying the financial plan;
- understanding of the client's financial status;
- understanding of what is meant by risk, the various risks faced by the client and the importance of the client risk profile in formulating a financial plan;
- evaluation of the different options available to the client with relevant evidence;
- the ability to put forward an appropriate financial plan based upon analysis of client objectives, circumstances and options;
- the ability to explain the meaning of any technical terms, the features of proposed products and the consequences of the proposed course of action;
- understanding of the importance of documenting any changes to the plan required by the client and how to document such changes;
- understanding of the review process and the different frequencies and methods available to review the plan.

Notes:

- **Syllabuses are examined from 01 September until 31 August each year. The tax year 2010/2011 will be examined in the April 2011 session. The tax year 2011/2012 will be examined in the October 2011 and April 2012 sessions.**
- **Updated study options and revision aids will be made available in July 2011 in support of this syllabus change.**

See guidance notes on page 24 for further details.

Recognition of prior learning

Credits may be awarded for prior learning, including exams that you may have already passed under discontinued CII qualification routes. Exemptions claimed under the previous qualification scheme in respect of non-CII qualifications also have a credit value.

If you have previously passed a CII financial services exam or obtained exemptions, the appropriate credits will automatically have been added to your 'Learning Account' with the CII. You can request details online at **www.cii.co.uk/learningstatement** or by calling Customer Service. Details of the most common exams passed can be found in the table opposite.

Study undertaken for exams offered by other awarding bodies, comparable to the CII exams may also attract credits. These include degrees in relevant subjects, for example accountancy, business or law as well as specific financial planning qualifications such as the Certified Financial Planner (CFP) or certification, i.e. ISO 22222. If you wish to claim credits in respect of non-CII exams passed or qualifications held, please complete and return the 'Individual recognition of prior learning' form available online at **www.cii.co.uk/prior-learning**
Be sure to include the requested supporting information.

Important note: To be awarded a CII qualification, you must obtain, by CII examination, a pass in a unit from the qualification you are looking to complete (in the case of a Diploma qualification, a J0 or R0 unit (except for R05 as this unit is at Certificate level) and in the case of the Advanced Diploma, an AF unit) and meet the qualification completion requirements.

These rules apply irrespective of how many credits your existing qualifications might provide.

To download a recognition of prior learning application form, and for full guidance on the rules and requirements and the latest regulatory standards, visit **www.cii.co.uk/prior-learning**

Current

Advanced Diploma in Financial Planning

Unit title	Credit level		
	Certificate	Diploma	Advanced
Units: AF1–AF5			30 per unit*

Diploma in Financial Planning

Unit title	Credit level		
	Certificate	Diploma	Advanced
Units: J01–J07		20 per unit	

Diploma in Regulated Financial Planning

Unit title	Credit level		
	Certificate	Diploma	Advanced
Units: R01, R02		20 per unit	
Units: R03, R04		10 per unit	
(R05) Financial protection	10		
(R06) Financial planning practice		30	

Certificate qualifications

Unit title	Credit level		
	Certificate	Diploma	Advanced
Units: CF1, CF5, ER1	15 per unit		
Units: CF2, CF6	20 per unit	20**	
(CF4) Retirement planning	10		
(CF8) Long term care insurance	15	15**	
Units: FA1, FA2, GR1	10 per unit		

Withdrawn

Advanced Financial Planning Certificate

Unit title	Credit level		
	Certificate	Diploma	Advanced
Units: G10, G20, G30, G60, G70, G80, H15, H25, F10, F20, F30, F40, F50, L10, L20, L30, L40, L50			30 per unit
Units: K10, K20			20 per unit

Miscellaneous exams

Unit title	Credit level		
	Certificate	Diploma	Advanced
(CF3) Financial protection	10		
Units: MAQ, SV1		20 per unit	
(J08) Financial planning practice		30	

Certificate in Financial Planning

Unit title	Credit level		
	Certificate	Diploma	Advanced
(CF7) Lifetime mortgage activities	15	15**	
(CF9) Pensions simplification	10		
(HR1) Home reversion plans	5		

Financial Planning Certificate

Unit title	Credit level		
	Certificate	Diploma	Advanced
Completed (1994 scheme – including unit FP3)	50		
Completed (pre-1994 scheme – excluding unit FP3)	32		

* Advanced Diploma in Insurance units: 555, 556, 735, 790, 945, CITIP each provide 30 advanced credits towards the Advanced Diploma in Financial Planning where passed **prior to 2008.**

** Credit level where exam passed **prior to 2007.**

Study options and revision aids
Blended learning programme

To help you pass the Diploma/Advanced Diploma exams first time we have developed a comprehensive portfolio of study options and revision aids which have been proven to enhance the chances of exam success. These can be ordered online at **www.cii.co.uk/fs-qualifications** over the phone by calling Customer Service, or by post/fax using the application form at the back of the brochure.

The prices quoted are for individuals. Companies requiring pricing information for groups of employees should call +44 (0)20 8989 8464 to discuss their requirements.

Members of the Personal Finance Society/CII/Society of Mortgage Professionals benefit from a discount on the price of study options, revision aids and exam entry.

In addition, regardless of which study option and/or revision aids you choose, there is a standard exam entry fee per unit (see pages 34–35 for details).

Guidance on R0 unit purchases:

- You must purchase the study text and revision aids **for the period during which you plan to sit the exam.** This should be indicated within Section C of the application form at the back of this brochure.
- CII exam periods run from 01 September through to 31 August.
- New editions of study options and learning materials can be purchased each year, from July, for examination from September.
- Electronic updates will automatically be made available for study texts during the examination period to which they relate. Full details are included on the title page of the study text.

Guidance on J0 and AF unit purchases:

- For J0 and AF units, the listed study options (opposite and on page 26) are based on an enrolment period of 12 months, during which time you are recommended to sit the exam whilst these are current.
- For J0 units, you must purchase the revision aids **for the exam session you plan to sit**. This should be indicated within Section C of the application form at the back of this brochure.

Important notes applicable to all qualifications:

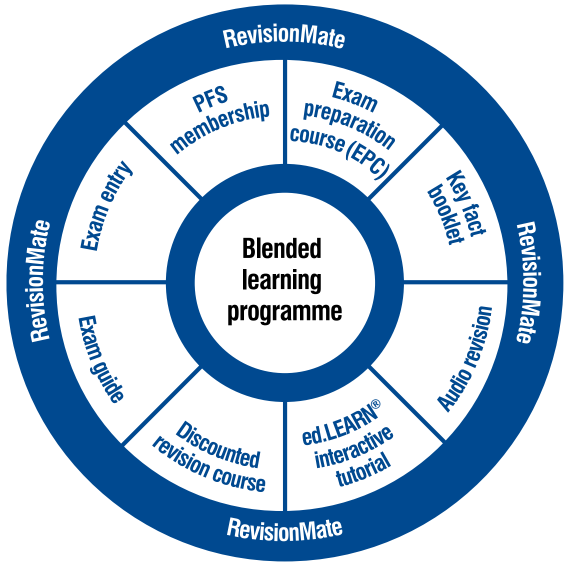
- Please allow ten days for delivery to a UK address and twenty one days to a non-UK address from receipt of your order.
- For materials sent within the UK, you, or someone acting on your behalf, will be required to sign for the delivery.

Diploma in Financial Planning blended learning programme

All members, new applicants and existing, of the Personal Finance Society/CII who are studying for the Diploma in Financial Planning can now access for all J0 units an exclusive package consisting of learning and revision materials, exam entry and discounted revision courses to support their studies.

This blended learning programme helps advisers develop a deep understanding of the course content, successfully pass the Diploma exams and, in turn, satisfy the RDR requirements that they should hold a 'Level 4' qualification before the end of 2012.

For a single fee the blended learning programme includes all of the following tools (PFS membership payable separately).



The blended learning programme costs: £360 per unit (J01–J07) (PFS membership payable separately)

This means big savings in completing the Diploma:

- **Existing PFS members: save up to £256**
- **New PFS members: save up to £194, even after the cost of two year's membership.**

You can buy your blended learning programme (and take out PFS/CII membership, if you're not already a member), by:

- going to **www.cii.co.uk/dip-fp-blend**
- calling Customer Service; or
- completing the application form at the back of this brochure.

In 2010 candidates who studied using the Diploma blended learning programme improved their chances of first-time exam success by an average 50%†.

† When compared to candidates using 'Study text' only. Source: CII statistics 2010

PFS membership

Practical tools to support your studies including: local study groups, reference materials, online technical dictionaries, fact files and much, much more. See inside front cover for more details.

Exam preparation course

Study text with updates for 12 months together with practical exam exercises marked to exam standard and returned with individual feedback and model answers.

Key fact booklet

Pocket-sized booklet summarising material from the study text, great for use when travelling.

Audio revision*

Perfect for using while commuting or driving between meetings.

ed.LEARN® interactive tutorial

Interactive study programme backed by self-assessment tools.

Discounted revision course

A discount of 20% on any CII course for the unit concerned.

Exam guide

A past paper with examiners' comments on candidate's performance and key points for inclusion in your answers.

Exam entry

Entry to the exam itself.

RevisionMate

An online study tool that provides a study planner, knowledge-check facility, definitions of key terms, specimen examination and a series of valuable hints and tips.

Notes:

- * J03 Audio revision is not available and therefore will not be supplied as part of the package for that unit
- Current membership of the PFS/CII is required. Non-members can join at the time of purchase
- Exam entries must be used within 12 months of purchase or at the closest exam session to the anniversary of the blended learning programme purchase
- Discounts on revision course entries are applicable to the unit(s) for which the blended learning programme was purchased
- Full details will be provided on purchase.

Study options	Cost per unit		
	Member	Non-member	
Exam preparation course (R06)	**£164**	**£206**	This is a tutor assisted learning course including the provision of a study text with updates developed to assist you in understanding and learning the topics covered by the exam syllabus. For unit R06, tutor access is available for the examination period to which the enrolment relates. Electronic updates to the study text will also be made available during this period (further details are included on the title page of the study text). For units J01–J07, tutor access and study text updates are based on an enrolment period of 12 months.
Exam preparation course (J01–J07)	**£171**	**£206**	5 exam preparation exercises are available through the course, each focused on a different area of the exam syllabus to support structured study. Each takes approximately 40 minutes to complete. Your assigned expert tutor will mark these to exam standards, returning them with model answers and individual feedback on how you can improve your answers and exam technique. Additionally you will gain access to an unrivalled suite of online services to support your studies through our 'RevisionMate' study tool. These will include a study planner, a knowledge check (multiple choice test) facility covering each chapter, student discussion forums, specimen examination and hints and tips. Full details will be provided with your study text.
Study text with updates (R01, R02 and R06)	**£93**	**£130**	This is a self-study course. R0 unit enrolments consist of a study text, with electronic updates which will automatically be made available for the examination period to which they relate (further details are included on the title page of the study text). J0 unit enrolments consist of a study text with updates for 12 months after enrolment. You will also have access to an unrivalled suite of online services to support your studies through our 'RevisionMate' study tool. See the 'Exam preparation course' section for details. **Note:** The Advanced Diploma tests application of the knowledge gained at Diploma, or equivalent, level. For this reason, we do not offer study texts for the Advanced Diploma in Financial Planning, but have developed a range of revision aids to help you pass the exams.
Study text with updates (R03 and R04)	**£56**	**£73**	
Study text with updates (R05)	**£33**	**£40**	
Study text with updates (J01–J07)	**£100**	**£130**	

study aids

Study options and revision aids

The CII offers a range of revision aids to support all learning styles and routines. Each has been developed to provide practical assistance in understanding the unit syllabus and achieving exam success.

Study options	Cost per unit		
	Member	Non-member	
Study text renewal (R01, R02, R06)	**£46**	**£65**	As the study text is a valuable reference tool in your day-to-day job, for J0 unit enrolments, we offer an option to receive updates for a full 12 months after your course has expired. For R0 unit enrolments, we offer an option to receive the next edition of the study text together with electronic updates. These options are renewable on an annual basis and you will be sent a letter inviting you to update your material.
Study text renewal (R03, R04)	**£28**	**£36**	
Study text renewal (R05)	**£16**	**£19**	
Study text renewal (J01–J07)	**£49**	**£63**	
Upgrade from Study text with updates to Exam preparation course (J01–J07, R06 (equivalent to withdrawn unit J08))	**£71**	**£76**	If after buying your study text with updates you wish to upgrade, you can do so within the first 12 months of your enrolment. The upgrade will only last until the end of your original enrolment period.

Revision aids	Cost per unit		
	Member	Non-member	
Case study workbook and update service (units AF1–AF4 only)	**£124**	**£147**	To help you prepare for the examination, the CII and Taxbriefs have prepared a series of case studies with suggested model answers. The aim is to provide you with guidance on key areas as well as practice in answering case study questions similar to those you will complete in the examination. The workbooks also contain summaries of the main technical points for each unit and tips on how to approach different financial planning issues. You will receive any new editions and updates which are issued during the 12 months following your purchase, ensuring that at all times you have access to the latest information. **Note**: A case study workbook is not offered for unit (AF5) Financial planning process as this draws together and tests your knowledge gained through study of the other units. You will, however, receive a 'fact find' 2 weeks before the exam which you will use to draw up a financial plan in the exam.
Examination guides (all units)	**£12 (inc VAT)**	**£13 (inc VAT)**	Depending upon the selected unit, these comprise either a past paper with examiners' comments on candidates' performance and key points for inclusion in your answers or a complete specimen examination and answers, highlighting syllabus areas covered and useful hints. These are available to purchase online at www.cii.co.uk being supplied as PDF files for you to print off as and when required for your own use. **Note: The content of the latest exam guide is included FREE within the RevisionMate online study tool provided with all Diploma study text purchases.**
Key fact booklets (J01–J07, R01, R06. R02–R05 December. Monitor www.cii.co.uk for release dates)	**£23**	**£25**	Comprehensive pocket-sized booklets summarising the key information contained in the coursebook. These are perfect for studying when travelling to and from work or in situations when reading a coursebook is impractical.
Audio revision (J01, J02, J04–J07, R01–R04, R06. R05 December)	**£38 (inc VAT)**	**£41 (inc VAT)**	This MP3 audio material covers the key elements of each subject. They last between 3–5 hours depending on the subject and they provide an ideal way to reinforce the learning from the study text. Delivered online via RevisionMate, they are simple to download and are great for making use of time spent when travelling. Provided by Patterson Audio. **Note:** This material can also be ordered in CD format for £42 (inc VAT) per unit (member rate) or £47 (inc VAT) per unit (non-member rate). CDs will be available approximately one month after the release dates of the MP3 version.
ed.LEARN® (J01–J07)	**£83 (inc VAT)**	**£83 (inc VAT)**	Online tutorial providing highly interactive study, backed by a revision assessment tool to check understanding as you progress with your studies. Visit **www.cii.co.uk/elearning** to view the course demo. **Notes:** • This material can also be purchased in a CD ROM format, which will be available approximately one month after the release dates of the online version. Cost per unit: J01–J07 £83 (inc VAT), R01–R06 £51 (inc VAT) member/£56 (inc VAT) non-member • Minimum operating requirements (unsupported on Mac OS/OSX): – ed.LEARN® – Windows 2000, XP, Vista or Windows 7; Internet Explorer 6, 7 or 8. – CD ROM – Windows 2000, XP, Vista or Windows 7; Internet Explorer 6 or 7.
ed.LEARN® (R01–R06)	**£51 (inc VAT)**	**£56 (inc VAT)**	

courses

In 2010 candidates who attended a CII revision course improved their chances of exam success by up to 50%*

* Source: CII Statistics 2010

Face-to-face revision courses

Revision courses provide a valuable aid to revision in the weeks before the exam, and are designed to improve your chances of exam success.

The CII offer a comprehensive programme of face-to-face revision courses so that you can choose a date and venue that matches your learning programme. A variety of courses are available, including single and two day courses. Saturday revision days are also offered for the majority of Diploma units, visit **www.cii.co.uk/f2f-financial** for details of unit availability.

Get the edge on exam day

Courses are structured to provide face-to-face tuition concentrating on key elements of the syllabus, suggestions for effective revision and techniques for the exam itself. Key benefits include:

- discover what the examiner is looking for;
- discuss the common mistakes made by candidates and how to avoid them;
- learn useful revision and exam techniques;
- clarify your areas of concern in the syllabus.

The workshops provide you with the opportunity to examine in more detail the exam syllabus and past papers. They provide additional question practice and support in-depth discussion with the course tutor.

When?

Courses for written exams are typically scheduled 3–4 weeks before the exam, whilst courses for multiple choice exams are offered throughout the year according to demand.

Where?

Courses are scheduled throughout the UK, and whilst availability varies according to demand, venues include: London, Birmingham, Bristol, Glasgow, Leeds and Manchester.

Making your choice

Our 2011 course timetable is given opposite and overleaf. Before finalising your booking we recommend you visit **www.cii.co.uk/f2f-financial** to determine course availability. Alternatively you can contact Customer Service on +44 (0)20 8989 8464.

Once you have found the course dates you want you can simply enter online. If you prefer, you can enter by calling Customer Service or by post/fax using the form at the back of this brochure.

Two day revision workshops	Cost per unit	
	Member	Non-member
J01–J07, R01–R06	£385	£445
AF1–AF5	£410	£475

Revision days	Cost per unit	
	Member	Non-member
J01–J07, R01–R06	£230	£270
AF1–AF5	£260	£300

Revision workshops	Venue	Dates
(R01) Financial services, regulation and ethics	London	07–08 Feb/9–10 May/08–09 Aug/07–08 Nov
	Birmingham	01–02 Mar/07–08 Jun/06–07 Sep/05–06 Dec
	Bristol	02–03 Mar/08–09 Jun/07–08 Sep/06–07 Dec
	Glasgow	03–04 Mar/09–10 Jun/08–09 Sept/07–08 Dec
	Leeds	28 Feb–01 Mar/06–07 Jun/05–06 Sep/29–30 Nov
(R02) Investment principles and risk	London	11–12 Apr/30 Jun–01 Jul/19–20 Sep
	Birmingham	21–22 Mar/21–22 Jun/26–27 Sep
	Bristol	05–06 Apr/13–14 Jun/22–23 Sep
	Glasgow	21–22 Mar/27–28 Jun/27–28 Sep
	Leeds	24–25 Mar/23–24 Jun/28–29 Sep
(R03) Personal taxation	London	14–15 Feb/16–17 May/15–16 Aug/14–15 Nov
	Birmingham	08–09 Mar/14–15 Jun/13–14 Sep/28–29 Nov
	Bristol	07–08 Mar/13–14 Jun/12–13 Sep/29–30 Nov
	Glasgow	09–10 Mar/15–16 Jun/14–15 Sep/30 Nov–01 Dec
	Leeds	10–11 Mar/16–17 Jun/15–16 Sep/01–02 Dec
(R04) Pensions and retirement planning	London	01–02 Mar/07–08 Jun/06–07 Sep/05–06 Dec
	Birmingham	02–03 Mar/08–09 Jun/07–08 Sep/06–07 Dec
	Bristol	03–04 Mar/09–10 Jun/08–09 Sep/07–08 Dec
	Glasgow	24–25 Feb/06–07 Jun/05–06 Sep/29–30 Nov
	Leeds	07–08 Feb/09–10 May/08–09 Aug/07–08 Nov
(R05) Financial protection	London	28 Feb–01 Mar/05–06 Sep
(R06) Financial planning practice	London	17–18 Mar/09–10 Jun/13–14 Sep
	Birmingham	10–11 Mar/15–16 Jun/05–06 Oct
	Bristol	06–07 Apr/13–14 Jun/19–20 Sep
	Glasgow	30–31 Mar/30 Jun–01 Jul/08–09 Sep
	Leeds	21–22 Mar/23–24 Jun/28–29 Sep
(J01) Personal tax	London	28–29 Mar/04–05 Jul/19–20 Sep
	Birmingham	24–25 Mar/12–13 Jul/22–23 Sep
	Bristol	30–31 Mar/13–14 Jun/15–16 Sep
	Glasgow	17–18 Mar/13–14 Jun/20–21 Sep
	Leeds	22–23 Mar/15–16 Jun/26–27 Sep
(J02) Trusts	London	06–07 Apr/27–28 Jun/28–29 Sep
	Birmingham	21–22 Mar/21–22 Jun/20–21 Sep
	Bristol	15–16 Mar/06–07 Jun/04–05 Oct
	Glasgow	04–05 Apr/23–24 Jun/03–04 Oct
	Manchester	07–08 Apr/08–09 Jun/13–14 Sep
(J03) The tax and legal aspects of business	London	21–22 Mar/26–27 Sep
	Birmingham	24–25 Mar/22–23 Sep
	Leeds	17–18 Mar/19–20 Sep
(J04) Pension funding options	London	16–17 Mar/30 Jun–01 Jul/03–04 Oct
	Birmingham	05–06 Apr/30 Jun–01 Jul/15–16 Sep
	Bristol	24–25 Mar/23–24 Jun/13–14 Sep
	Glasgow	15–16 Mar/09–10 Jun/22–23 Sep
	Leeds	28–29 Mar/13–14 Jun/19–20 Sep

"The tutor's depth of knowledge was key to this course and she has an excellent way of explaining complicated topics... one of the best tutors in this type of subject area that I have experienced."

Gareth
Independent Financial Adviser

"Very clear, relaxed atmosphere and great working examples to take away... will be attending revision days for all exams I take."

Marion
Financial Adviser

Face-to-face revision courses

Revision workshops	Venue	Dates
(J05) Pension income options	London	14–15 Mar/05–06 Jul/13–14 Sep
	Birmingham	28–29 Mar/28–29 Jun/28–29 Sep
	Bristol	21–22 Mar/21–22 Jun/19–20 Sep
	Glasgow	23–24 Mar/27–28 Jun/05–06 Oct
	Manchester	10–11 Mar/16–17 Jun/03–04 Oct
(J06) Investment principles, markets and environment	London	11–12 Apr/30 Jun–01 Jul/19–20 Sep
	Birmingham	21–22 Mar/21–22 Jun/26–27 Sep
	Bristol	05–06 Apr/13–14 Jun/22–23 Sep
	Glasgow	21–22 Mar/27–28 Jun/28–29 Sep
	Leeds	24–25 Mar/24–25 Jun/28–29 Sep
(J07) Supervision in a regulated environment	London	11–12 Apr/12–13 Oct
	Manchester	07–08 Apr/03–04 Oct
(AF1) Personal tax and trust planning	London	15–16 Mar/ 13–14 Sep
	Birmingham	22–23 Mar
	Bristol	27–28 Sep
	Glasgow	05–06 Apr
	Leeds	04–05 Oct
(AF2) Business planning	London	05–06 Apr/04–05 Oct
(AF3) Pension planning	London	24–25 Mar/26–27 Sep
	Birmingham	05–06 Apr
	Leeds	03–04 Oct
(AF4) Investment planning	London	10–11 Mar/26–27 Sep
(AF5) Financial planning process	London	09–10 Mar/08–09 Sep

Before finalising your booking we recommend you visit **www.cii.co.uk/f2f-financial** to determine course availability. Alternatively you can contact Customer Service on +44 (0)20 8989 8464.

Revision days	Venue	Dates
(R01) Financial services, regulation and ethics	London	16 Feb/16 Mar/13 Apr/11 May/15 Jun/ 13 Jul/10 Aug/14 Sep/12 Oct/16 Nov
	Birmingham	09 Mar/08 Jun/07 Sep/06 Dec
	Bristol	10 Mar/09 Jun/08 Sep/05 Dec
	Glasgow	07 Mar/07 Jun/05 Sep/02 Dec
	Leeds	08 Mar/10 Jun/06 Sep/01 Dec
(R02) Investment principles and risk	London	10 Mar/10 Jun/13 Sep
	Birmingham	17 Mar/27 Jun/22 Sep
	Bristol	23 Mar/23 Jun/23 Sep
	Glasgow	30 Mar/22 Jun/30 Sep
	Leeds	28 Mar/29 Jun/26 Sep
(R03) Personal taxation	London	17 Feb/17 Mar/14 Apr/12 May/16 Jun/ 14 Jul/11 Aug/15 Sep/13 Oct/17 Nov
	Birmingham	05 Apr/05 Jul/04 Oct/22 Nov
	Bristol	06 Apr/06 Jul/05 Oct/23 Nov
	Glasgow	04 Apr/04 Jul/03 Oct/24 Nov
	Leeds	01 Apr/07 Jul/06 Oct/25 Nov
(R04) Pensions and retirement planning	London	10 Jan/01 Mar/05 May/04 Jul/02 Sep/ 01 Nov
	Birmingham	08 Feb/09 May/10 Aug/09 Nov
	Bristol	09 Feb/10 May/11 Aug/10 Nov
	Glasgow	07 Feb/11 May/08 Aug/08 Nov
	Leeds	10 Feb/12 May/09 Aug/07 Nov
(R05) Financial protection	London	10 Feb/08 Apr/09 Jun/03 Aug/13 Oct/ 07 Dec
	Birmingham	23 Feb/27 May/24 Nov
	Bristol	07 Apr/11 Oct
	Manchester	02 Feb/10 May/04 Nov
	Leeds	26 Apr/27 Oct

Revision days	Venue	Dates
(R06) Financial planning practice	London	10 Feb/21 Mar/08 Apr/09 Jun/20 Jun/ 03 Aug/24 Nov/19 Sep/13 Oct/07 Dec
	Birmingham	23 Feb/18 Mar/27 May/22 Jun/16 Sep
	Bristol	16 Mar/07 Apr/16 Jun/14 Sep/11 Oct
	Glasgow	14 Mar/14 Jun/12 Sep
	Leeds	22 Mar/26 Apr/21 Jun/15 Sep/27 Oct
(J01) Personal tax	London	15 Mar/05 Jul/27 Sep
	Birmingham	23 Mar/17 Jun/22 Sep
	Bristol	05 Apr/22 Jun/03 Oct
	Glasgow	17 Mar/16 Jun/29 Sep
	Leeds	24 Mar/20 Jun/30 Sep
(J02) Trusts	London	31 Mar/07 Jul/22 Sep
	Birmingham	05 Apr/24 Jun/04 Oct
	Bristol	29 Mar/30 Jun/26 Sep
	Glasgow	30 Mar/21 Jun/15 Sep
	Leeds	30 Mar/01 Jul/27 Sep
(J03) The tax and legal aspects of business	London	31 Mar/22 Sep
	Birmingham	01 Apr/30 Sep
	Bristol	29 Mar/23 Sep
	Glasgow	11 Mar/12 Sep
	Leeds	30 Mar/ 27 Sep
(J04) Pension funding options	London	23 Mar/07 Jul/23 Sep/30 Sep
	Birmingham	28 Mar/15 Jun/27 Sep
	Bristol	08 Apr/27 Jun/29 Sep
	Glasgow	22 Mar/14 Jun/23 Sep
	Leeds	24 Mar/29 Jun/28 Sep
(J05) Pension income options	London	29 Mar/05 Apr/16 Jun/08 Jul/16 Sep/ 05 Oct
	Birmingham	31 Mar/16 Jun/03 Oct
	Bristol	31 Mar/28 Jun/26 Sep
	Glasgow	06 Apr/15 Jun/22 Sep
	Leeds	06 Apr/30 Jun/22 Sep
(J06) Investment principles, markets and environment	London	10 Mar/15 Jun/13 Sep
	Birmingham	17 Mar/27 Jun/22 Sep
	Bristol	23 Mar/23 Jun/23 Sep
	Glasgow	30 Mar/22 Jun/30 Sep
	Leeds	28 Mar/29 Jun/26 Sep
(J07) Supervision in a regulated environment	London	11 Mar/19 Sep
	Manchester	03 Mar/30 Sep
(AF1) Personal tax and trust planning	London	24 Mar/19 Sep
	Birmingham	06 Oct
	Bristol	31 Mar
	Manchester	29 Sep
	Leeds	07 Apr
(AF2) Business planning	London	29 Mar/22 Sep
(AF3) Pension planning	London	06 Apr/22 Sep
	Birmingham	06 Apr
	Leeds	20 Sep
(AF4) Investment planning	London	31 Mar/20 Sep
	Bristol	07 Mar
	Edinburgh	09 Sep
(AF5) Financial planning process	London	07 Mar/30 Sep
	Glasgow	30 Mar
	Manchester	30 Mar

deadlines/schedule

Deadlines Schedule

Important deadlines

The following information is only applicable to those candidates wishing to sit R06, J01–J07 and AF1–AF5 exams.

To enter exams in respect of Diploma in Regulated Financial Planning units R01–R05, which are held year-round, visit **www.cii.co.uk/online**

R01–R06 are not available to sit outside of the UK.

* Please contact Customer Service if you do not receive these. When you receive your **admission permit** you **MUST** check whether any change has been made in the date or times of the units for which you have entered and that the units shown on your permit are those that you intend to sit. If there is any discrepancy you should contact Customer Service immediately.

** To access your results online you will need to be logged in to the CII website using your CII Permanent Identity Number (PIN) and password.

	January 2011 exams	April 2011 exams	June 2011 exams	July 2011 exams	October 2011 exams	November 2011 exams
Exam entry Closing date for your exam entry and payment to reach the CII • At normal fees (changes to exam entries, etc. not accepted after these dates)	Unit R06 only: **17 Dec 10**	All units excl. R06: **02 Mar 11** Unit R06 only: **11 Mar 11**	Unit R06 only: **09 May 11**	All units excl. AF1–AF5, J03, J07: **13 Jun 11**	Units J01–J07 only: **12 Sep 11** Unit R06 only: **02 Sep 11** Units AF1–AF5 only: **24 Aug 11**	Unit R06 only: **31 Oct 11**
• At late entry fee	Unit R06 only: **07 Jan 11**	All units: **25 Mar 11**	Unit R06 only: **23 May 11**	All units excl. AF1–AF5, J03, J07: **24 Jun 11**	All units: **16 Sep 11**	Unit R06 only: **07 Nov 11**
Exam entry confirmation*	Despatched within seven working days from receipt of application					
Receive your exam admission permit*	Despatched ten days before the exams begin or six weeks for non-UK applicants					
Sit exams	Unit R06 only: **24 Jan 11**	All units excl. R06: **11–14 Apr 11** Unit R06 only: **11 Apr 11**	Unit R06 only: **06 Jun 11**	All units excl. AF1–AF5, J03, J07, R06: **11–12 Jul 11** Unit R06 only: **11 Jul 11**	All units excl. R06: **03–06 Oct 11** Unit R06 only: **03 Oct 11**	Unit R06 only: **21 Nov 11**
Exam results released online** **www.cii.co.uk/results** and posted	Results are sent by 1st class post on the date shown. Please allow five days for delivery to a UK address and fourteen days for a non-UK address.					
• UK centres	Unit R06 only: **18 Feb 11**	All units excl. R06: **10 Jun 11** Unit R06 only: **06 May 11**	Unit R06 only: **01 Jul 11**	All units excl. AF1–AF5, J03, J07, R06: **09 Sep 11** Unit R06 only: **05 Aug 11**	All units excl. R06: **02 Dec 11** Unit R06 only: **28 Oct 11**	Unit R06 only: **16 Dec 11**
• Non-UK centres	n/a	All units excl. R06: **17 Jun 11** Unit R06 only: **20 May 11**	n/a	n/a	All units excl. R06: **09 Dec 11** Unit R06 only: **11 Nov 11**	n/a
Entry for the next exams	You do not have to wait for your results before entering for an exam in the next session					

Exam timetable

The following dates apply to R06, J01–J07 and AF1–AF5 exams in 2011. The CII reserve the right to make changes to the published dates where necessary.

Diploma exams

Exam unit	Date	Time
(R06) Financial planning	24 Jan	10.00
	11 Apr	13.30
	06 Jun	10.00
	11 Jul	10.00
	03 Oct	13.30
	21 Nov	10.00
(J01) Personal tax (UK only)	12 Apr	10.00
	11 Jul	14.30
	04 Oct	10.00
(J02) Trusts	14 Apr	10.00
	12 Jul	13.30
	06 Oct	10.00
(J03) The tax and legal aspects of business	12 Apr	10.00
	04 Oct	10.00
(J04) Pension funding options	13 Apr	10.00
	12 Jul	13.30
	05 Oct	10.00
(J05) Pension income options	14 Apr	10.00
	12 Jul	10.00
	06 Oct	10.00

Diploma exams (continued)

Exam unit	Date	Time
(J06) Investment principles, markets and environment	11 Apr	10.00
	12 Jul	10.00
	03 Oct	10.00
(J07) Supervision in a regulated environment	13 Apr	10.00
	05 Oct	10.00

Advanced Diploma exams

(AF1) Tax and Trust Planning	12 Apr	13.30
	04 Oct	13.30
(AF2) Business Planning	13 Apr	13.30
	05 Oct	13.30
(AF3) Pension Planning	11 Apr	13.30
	03 Oct	13.30
(AF4) Investment Planning	13 Apr	13.30
	05 Oct	13.30
(AF5) Financial Planning Process	14 Apr	13.30
	06 Oct	13.30

costs

Costs, fees and refunds

All fees apply 01 Jan 2011–31 Dec 2011.

Personal Finance Society/ CII membership

For those candidates wishing to become members of the Personal Finance Society one of the subscription fees shown opposite is payable.

For all new members a one off admission fee of £36 is payable in addition to the annual subscription fee. This is waived for all student members of the Personal Finance Society.

If you pay by monthly Direct Debit, we will spread this cost across your 12 monthly payments.

For existing Personal Finance Society/ CII members, membership of the Society of Mortgage Professionals and Faculty of Life and Pensions at 'Member level' is FREE.

If you hold any CII qualifications you must join the PFS at the appropriate membership level.

PFS membership level	Monthly direct debit	Annual subscription
Student	£5.84	£70
Qualified (including CertPFS and DipPFS)	£14.17	£170

Note: An additional annual subscription fee of £3 is payable by applicants joining the Insurance Institute of London.

Study options and revision aids

Note: Candidates living outside the UK who are members of an associated or affiliated institute may purchase study materials and enter for CII exams at the same prices as those charged to members of the PFS/CII (for a full list of associated or affiliated institutes contact Customer Service).

Refer to page 24 for a full listing of study options and revision aids

Exam entry fees – applicable in respect of exams sat in 2011

In respect of written exams (R06, J01–J07 and AF1–AF5) the fees shown are for entries received before normal closing dates.

For exam entries received after the normal closing date, up to two weeks before the session, the normal fee is payable together with a late entry fee of £75 per unit. This is subject to space being available at the exam centre.

	Fee per unit	
Units	**Member**	**Non-member**
R01, R02	£107	£142
R03, R04	£64	£83
R05	£58	£60
R06	£127	£162
J01–J07	£107	£142
AF1–AF5	£115	£153

Recognition of prior learning

A fee is payable for each individual credit awarded in respect of prior learning that you have undertaken outside of CII qualifications. This is payable once the credits have been awarded.

Some equivalent FSSC 'appropriate exams' from organisations such as IFS, CISI, CIOBS and the Faculty and Institute of Actuaries are eligible for a discounted fee per credit awarded.

Please visit **www.cii.co.uk/prior-learning** for full details.

	Member	Non-member
Fee per credit	£3	£4
Fee per credit – discounted fee for equivalent certificate level FSSC 'appropriate exams' £1		

Change of session, unit or centre fee

Units R01–R05
Changes must be requested at least 21 days before the date of the exam for which you have entered. Multiple changes will be covered by a single fee provided they are submitted together.

R06, J0 and AF units
Changes must be requested before the relevant closing date for exam entry at normal fee. Multiple changes will be covered by a single fee provided they are submitted together.

All units
In respect of all units, no changes, apart from your address or name (which must be supported by original or certified evidence), can be made to your exam entry after the specified deadlines set out above. After the relevant deadline has passed should you wish to withdraw you will not receive a refund except in the case of illness.

Change after entry £39

Refunds

R01–R05 units	Cancellation of an exam entry at least 21 days before the date of the exam for which you have entered:	**50% of exam entry fee**
R06, J0 and AF units	Cancellation of an exam entry before the final closing date at normal fee:	**50% of exam entry fee**
All units	Absence from exam with medical evidence (to be received within two months of the date of the exam):	**50% of exam entry fee or free entry to the next session**

Post-results review of marking

Further details including any fees payable can be found at **www.cii.co.uk/exampolicies** important information

Entering for a qualification: Important information

Personal Finance Society membership

1. If you are not already a Society member, you can become a member when you apply for the Diploma/Advanced Diploma. If you wish to apply for membership and it is not clear from your application form that you work in financial services, please provide brief details of the nature of your work and the proportion of your time spent on financial services matters on a separate sheet of paper.

Personal Finance Society regions and local institutes

2. If you apply for Society membership you will join a Society region and a local institute.

   Provided below are a list of local institutes. Please select the one which is most convenient for you and enter details in the space provided on the application form. You will be assigned to a region on the basis of your choice of institute.

   List of local institutes:

   Aberdeen; Bedford & Milton Keynes; Belfast; Birmingham; Blackburn & Burnley; Bolton; Bournemouth; Bradford; Brighton; Bristol; Cambridge; Cardiff; Carlisle; Chelmsford & S Essex; Cheltenham & Gloucester; Chester & North Wales; Coventry; Croydon; Edinburgh; Exeter; Folkestone, Canterbury & E Kent; Glasgow; Guernsey; Guildford; Halifax; Harrow & Ealing; Hull; Inverness, the Highlands & Islands; Ipswich, Suffolk & N Essex; Isle of Man; Jersey; Kendal; Leeds; Leicester; Lincoln; Liverpool; London; Luton & St Albans; Manchester; Mid Kent; Middlesbrough; Newcastle-upon-Tyne; Northampton; Norwich; Nottingham; Perth & Dundee; Peterborough; Plymouth & Cornwall; Preston & Blackpool; Reading; Royal Tunbridge Wells; Sheffield; Shropshire & Mid Wales; Southampton; Stoke-on-Trent; Stratford-upon-Avon; Swansea & West Wales; Swindon; Watford; York.

   The area covered by the Insurance Institute of London (IIL) is defined as all London postal districts except the following: N9, N11, N14, N21, NW9, E4, E6, E7, E10, E11, E12, E13, E15, E16, E17, E18, W3, W4, W5, W6, W7, W12, W13, SW20, SE20, SE25. There is an additional subscription fee for IIL members of £3.

Written exam centres – UK, Channel Islands & Isle of Man

3. Places are allocated on a first-come, first-served basis. Every effort is made to ensure you receive your preferred choice, however, if a centre you choose is not available for a particular sitting you will be allocated to your second choice or another convenient centre.

   It is intended that all centres will be available in April and October unless otherwise indicated.

   Important note: In respect of exams for Diploma units R06, J01, J02, J04–J06:

   Only those centres marked with an asterisk and shown in bold are also available in:

   – January, June, July and November for unit R06;

   – July for Diploma in Financial Planning J0 exam entries (units J03 and J07 are not available at this session).

Centre	Code
Aberdeen	010
Belfast	015
Birmingham*	**005**
Bolton	080
Bournemouth	018
Brighton*	**020**
Bristol*	**021**
Cambridge	022
Cardiff	024
Carlisle	025
Chelmsford	026
Chester	028
Coventry	029
Croydon	030
Douglas, IoM	091
Dundee	034
Ealing	088
Edinburgh*	**009**
Exeter	035
Folkestone	087
Glasgow	004
Gloucester	036
Guernsey	090
Guildford	038
Horsham	082
Hull	041
Inverness	043
Ipswich	044
Jersey	081
Leeds	006
Leicester	046
Lincoln	047
Liverpool	002
London*	**001**
Luton/Stevenage	049
Manchester*	**003**
Middlesbrough	051
Mid-Kent	050
Newcastle-upon-Tyne	008
Northampton	052
Norwich	007
Nottingham	053
Oxford	054
Peterborough	056
Plymouth	057
Preston	059
Reading	060
St Austell	092
Sheffield	062
Shrewsbury	063
Southampton/Eastleigh	064
Southend-on-Sea	086
Stoke-on-Trent	065
Stratford-upon-Avon	066
Swansea	067
Tunbridge Wells	071
Watford	072
York	075

Note: Occasionally, examinations may have to be held at locations other than those listed above. Please remember to check your admission permit to confirm all details of your examination.

International exam centres

4. For those candidates wishing to sit a unit(s) outside the UK please contact Customer Service for further details.

Copyright

5. All CII study materials are copyrighted. By purchasing materials you undertake to use the materials for your own purposes only and not to sell, lend or give them to anyone else. Any form of copying of materials is prohibited. From the date of receipt by the CII of a correctly completed form please allow ten days within the UK or twenty one days outside the UK for delivery of materials.

   Materials sent within the UK require a signature; please ensure that there will be someone to accept delivery at the address shown on the form.

Your right to cancel

6. In accordance with The Consumer Protection (Distance Selling) Regulations 2000 you have a right of cancellation in respect of the Products and Services listed in this brochure, which right shall (subject to the Regulations) expire seven working days from the day after the date on which either the products are received by you or your order for services is accepted by the CII. Should you wish to cancel, notice should be sent to Customer Service. Where products have been supplied to you prior to such cancellation they must be returned to us, in the condition in which they were supplied to you, at your expense. Reimbursement for any monies paid by you which relate to the cancellation will be sent to you within 30 days of receiving the notice of cancellation or if products are to be returned to us, within 30 days of their receipt. In the event of less than seven days notice of cancellation being given in respect of a Certificate exam entry and if, where applicable, the CII is unable to recover costs suffered as a result of such short notice cancellation then the CII can recover these costs from you.

Additional terms and conditions

7. Please note there are additional terms and conditions which apply to candidates entering for exams with the CII. They relate in the main to entering for and sitting exams and the subsequent issue of exam results. Please note that in entering for CII exams you agree to be bound by these additional terms. Full details can be found at **www.cii.co.uk/exampolicies**

Fairness, integrity and the CII appeals procedure

8. The CII is committed to giving all candidates an equal opportunity of achieving its qualifications in line with current UK and EU Directives. It is also committed to open and fair processes and as part of this process runs a transparent appeals policy. Further details on the appeals policy can be found at **www.cii.co.uk/exampolicies**

Once you have read the notes on completing your application, you can either:

- **complete and submit your application online at www.cii.co.uk/fs-qualifications**
- phone through your order to Customer Service on +44 (0)20 8989 8464 ensuring that you have your credit/debit card details ready
- complete the form below and post or fax +44 (0)20 8530 3052 to Customer Service.

Diploma/Advanced Diploma qualifications for the advice sector Application Form

ICF014 (11/10)

Important note: To ensure that your application is processed correctly can you please enter your name at the top of each page in the space provided.

Section A – Personal details (Please complete all fields. Your name should be entered as you wish it to appear on your certificate.)

Have you ever had previous contact with the CII? ☐ Yes ☐ No (Please tick)

Please give your CII/PFS permanent identity number (PIN) if known PIN

Mr/Mrs/Miss/Ms Surname

Forenames Date of birth

Employer's name

Tel Ext Mobile

email*

Work address

Postcode Country

Home address

Postcode Country

*** Please take care when providing your email address as most correspondence will be sent electronically. Email address must be included when ordering ed.LEARN.®**

Tick address to be used for postal correspondence ☐ Home ☐ Work

If you are registered with the FSA, please enter your FSA Individual Reference Number (IRN) IRN

Please only tick one box per category

Type of organisation

☐ Independent financial adviser ☐ Independent financial adviser – Network ☐ Whole of market ☐ Multi-tied
☐ Tied agent (Sole agent) ☐ Company (insurer/assurer) back office ☐ Bank/Building Society back office ☐ Mortgage adviser
☐ Investment house ☐ Other

Area of work

☐ Advising clients ☐ Underwriting ☐ Claims ☐ Administration/Processing
☐ HR/Training ☐ Compliance ☐ Finance ☐ Product selling to advisers
☐ Technical adviser ☐ Other

Job category

☐ Administrative ☐ Technical ☐ Advisory ☐ Supervisory/Controller
☐ Middle management (Branch, Office, Dept) ☐ Senior management (General, Head of) ☐ Executive (CEO, Director) ☐ Business owner
☐ Other

Is your employer a member of a network or does it work with a compliance services provider? ☐ Yes ☐ No

If yes, please specify

Study Path

Where you are studying in order to complete a qualification please indicate by ticking the appropriate box:

☐ Diploma in Regulated Financial Planning ☐ Diploma in Financial Planning ☐ Advanced Diploma in Financial Planning ☐ Certificate in Life and Pensions

Please turn over

Enter your name

Section B – Personal Finance Society (PFS) membership

(Please **ONLY** complete this section if you are applying for membership. Go to Section C if you are already a member.)

Remember, membership not only gives you useful discounts on learning material and exam entry, you'll also receive exclusive benefits to help you in your studies and working life. And once qualified, you'll be able to use the industry recognised designation.

I wish to become a student member of the Society ☐ Yes ☐ No

I wish to become a member of the Society at CertPFS® level* ☐ Yes ☐ No

☐ I hold the CII's Certificate in Financial Planning/Financial Planning Certificate; or

☐ I hold another equivalent qualification, e.g. CeFA, which entitles me to register.

In respect of non-CII qualifications I enclose photocopies of my certificates, authenticated by a member of the Personal Finance Society or the CII, or a local associated or affiliated institute official, whose CII PIN should also be given (where applicable).

"Working smarter means having all the help you can get."

I wish to become a member of the Society at DipPFS® level * ☐ Yes ☐ No

☐ I hold the CII's Diploma in Financial Planning/AFPC (3 credits including unit (G10) Taxation and trusts)/Diploma in Regulated Financial Planning

*** If this is not the case, please contact Customer Service to discuss the other membership options.**

The local institute I wish to join – UK only (See pg 36)

Please tick the relevant box to confirm whether you have:

– Been made bankrupt or been subject to an individual voluntary arrangement (or similar procedure). ☐ Yes ☐ No

– Been convicted for (or have you been charged but not yet tried with) any offence other than a monetary fixed penalty for a motoring offence. Please note, if the conviction is considered spent under the Rehabilitation of Offenders Act you should select 'no'. ☐ Yes ☐ No

– Been subject to any disciplinary sanctions (or are currently the subject of any investigation) by the CII/PFS or any other professional and/or membership body or regulatory authority. ☐ Yes ☐ No

If you have answered 'yes' to any of these questions, please also provide any relevant details on a separate sheet of paper.

Please note that, as a member of the PFS/CII, you are required to let us know if and when, at any point in the future, your circumstances are such that you would have to answer `yes' to any of the above.

The PFS/CII reserves the right to refer any such membership applications as it deems necessary to the CII Membership Application Sub Committee (MASC) whose decision will be final and binding. The MASC is a Sub-Committee of the CII Disciplinary Committee.

A non-exhaustive list of instances where applications will normally be referred to MASC include the circumstances listed above. Importantly, any past failure to comply with the CII's CPD requirements, applicable to qualified members, will be deemed an appropriate trigger for referral.

In becoming a member of the Personal Finance Society (PFS), I agree to abide by the PFS Articles of Association and Bye-laws including the commitment to pay £1 in the event of the Society being wound up and there being a shortfall in assets.

PFS members automatically become members of the Chartered Insurance Institute (CII). In also becoming a member of the CII, I agree to abide by: the CII Charter and Bye-laws; the CII Code of Ethics; all CII rules and regulations; the constitution and Bye-laws of any local institute of which I become a member; and the CII's Continuing Professional Development scheme (only applicable to qualified members). ☐ Yes

You must answer the questions on this form truthfully, including the declarations you make. Any information you provide which is misleading or untrue may result in your membership being cancelled. It may also lead to disciplinary or criminal proceedings. If there are any questions or any parts of the declarations on this form which you do not understand then you can refer to the CII website **www.cii.co.uk/explanatorynotes** although the CII does not accept any liability for information or clarification given.

Membership fees

1. An admission fee of £36 is payable by ALL applicants (this is waived for student membership of the PFS).

2(a). Please then select the appropriate member fee:

	London only*		UK and Channel isles	
PFS membership level	Annual subscription	Monthly direct debit	Annual subscription	Monthly direct debit
Student	£73	£6.09	£70	£5.84
Qualified (including CertPFS and DipPFS)	£173	£14.42	£170	£14.17

Important note: *This includes a £3 subscription fee for membership of the Insurance Institute of London.

2(b). Choose the method of payment. This can either be:

i) by monthly Direct Debit. The admission fee of £36 will be spread across your 12 monthly payments. **If you choose this option do not complete the sub total box, but fill out the Direct Debit form at the back of this application form;**

ii) by cheque or debit/credit card. **If you choose this option please enter the correct amount in the sub total box.**

Sub total £

(to include the £36 admission fee for qualified applicants)

Diploma/Advanced Diploma qualifications for the advice sector application form – ICF014 (11/10)

Enter your name

Section C – Study options and revision aids

I wish to order the following learning materials:

Study options	CII use	Member	Non-member	Unit code	Total
Exam preparation course (R06)	PT	£164	£206		£
Exam preparation course (J01–J07)		£171	£206		£
Study text with updates (R01, R02, R06)	UD	£93	£130		£
Study text with updates (R03, R04)		£56	£73		£
Study text with updates (R05)		£33	£40		£
Study text with updates (J01–J07)		£100	£130		£
Study text renewal (R01, R02, R06)	UD	£46	£65		£
Study text renewal (R03, R04)		£28	£36		£
Study text renewal (R05)		£16	£19		£
Study text renewal (J01–J07)		£49	£63		£
Upgrade service to exam preparation course (J01–J07, R06 (equivalent to withdrawn unit J08))		£71	£76		£

Sub total £

For Diploma unit applications please indicate when you will be sitting the exam(s) as this will determine which version of study/option(s)/revision aids we send you:

☐ Pre 01 Sep 2011 ☐ Post 01 Sep 2011

Blended learning programme	CII use	Members only	Unit code	Total
Diploma in Financial Planning blended learning programme (See pg 24)	LP	£360 (PFS membership payable separately)		£

Sub total £

Note: If you know when you want to sit the exam please complete Section D.

Revision aids	CII use	Member	Non-member	Unit code	Total
Case study workbook and update service (AF1–AF4)	CS	£124	£147		£
Specimen/past examination guides	available online at **www.cii.co.uk**				
Key fact booklets (J01–J07, R01–R06) (See pg 26 for R0 unit availability)	KF	£23	£25		£
Audio revision (J01, J02, J04–J07, R01–R06) (See pg 26 for R0 unit availability) • MP3 download	ADJ	£38	£41		£
• Audio CD	CDJ	£42	£47		£
ed.LEARN® • Online tutorial (J01–J07)	EL	£83	£83		£
• Online tutorial (R01–R06) (See pg 26 for availability)	EL	£51	£56		£
• CD ROM (J01–J07)	CBT	£83	£83		£
• CD ROM (R01–R06) (See pg 26 for availability)	CBT	£51	£56		£
Revision workshops • J01–J07, R01–R06 (See pg 28)	WS	£385	£445		£
• AF1–AF5 (See pg 28)	WS	£410	£475		£
	Date			Venue	
Revision days • J01–J07, R01–R06 (See pg 28)	R	£230	£270		£
• AF1–AF5 (See pg 28)	R	£260	£300		£
	Date			Venue	

Sub total £

Postage fee (not applicable to training courses):

UK and EU £4 per order. All other countries £15 per study option and £8 per revision aid purchased.

Postage fee £

Please turn over

Enter your name

Section D – Exam entry

I wish to enter the following exams at the centre in (refer to pg 37 for the list of available centres):

First choice | Centre code

Second choice | Centre code

Notes:
- To sit R01–R05 exams in the UK, you must enter online at **www.cii.co.uk/online** or by calling Customer Service
- If you have bought the 'blended learning programme' option **do not** include the exam fee.

2011 exam dates (please tick required box)

Unit	Jan	Apr	Jun	Jul	Oct	Nov	Member	Non-member	Total
(R06) Financial planning practice							£127	£162	£

Unit codes	Apr	Jul*	Oct	Member	Non-member	No of units	Entry fee
Diploma units J01–J07	please tick when you intend to sit the exam			£107	£142		£
Advanced Diploma units AF1–AF5	please tick when you intend to sit the exam			£115	£153		£

***Important note:** Diploma units J03 and J07 are not available at the July exam session.

Additional late entry fee (See pg 34) £

Section E – Declarations

I declare that all information provided by me on this form is true and correct to the best of my knowledge.

Application for study materials

I undertake to use them for my own purposes and not to sell, copy, lend or give them to anyone else.

Exam prizes

Organisations other than the CII sponsor prizes and awards based on CII exam performance. If you do not wish any information to be passed on to these organisations, please tick this box.

Terms, conditions and cancellation

I have read and agree to the terms and conditions contained in this brochure, including my right of cancellation.

Data protection and privacy

The CII is registered under the Data Protection Act 1998 and will ensure that in providing products and services to you, it will process your personal data fairly. By submitting this application, I consent to the CII processing my data. Full details are included in the CII Data Protection and Privacy statement which is available on the CII's website.

Sharing information with your employer

The CII will, upon the employer's request, provide your employer with details of your examination record including attempts along with your CII Personal Identification Number, unless you tick the following box.

Privacy and electronic communications regulations

We may from time to time wish to draw your attention to other CII products and services electronically which are likely to be of interest to you. The CII will assume you consent to us using your data in this way, unless you tick the following box.

Sharing your data with third parties

The CII Group will never sell your data to third parties for commercial gain. We may however share your data with third parties who provide products and services that complement those offered by the CII. The CII will assume that you consent to us using your data in this way, unless you tick the following box.

Signed | Date

Please allow 10 days for delivery in the UK and 21 days internationally from receipt of your correctly completed application form.

Materials sent within the UK require a signature; please ensure there will be someone to accept delivery at the specified address shown on the form.

Study options and revision aids are provided by the Education and Training Trust of the Chartered Insurance Institute (a company limited by guarantee)
Registered office: 20 Aldermanbury, London EC2V 7HY. Registered Charity no. 1021017

Diploma/Advanced Diploma qualifications for the advice sector application form – ICF014 (11/10)

Enter your name

Section F – Total payable and method of payment

Insert the total value of all items ordered in Sections B to D. **Total payable** £

Note: All prices quoted are inclusive of VAT, where appropriate, at the current rates. Prices are subject to change without notice. Please ensure that where applicable you have included the appropriate postage fee – see Section C.

If you would like to receive a payment receipt, please tick one of the following delivery options (if selecting email be sure to provide your email address on the first page of the form): Email Post

Tick method of payment and, if applicable, complete the card details.

Cash/cheque payable to The Chartered Insurance Institute (please write CII PIN number if known on the back of the cheque).

Note: All remittances must be in Sterling. Cash should only be sent by recorded delivery. No liability can be accepted by the CII for cash sent via post. Payment from countries outside the UK must be made by banker's draft, payable in Sterling to the CII drawn on a UK bank, or by credit/debit card (Visa, Mastercard, Maestro, Solo or Delta).

Credit/debit card: Please debit my/our account with the total cost of the goods and services ordered on this form, according to the CII's prices at the time of processing.

Type of card (please tick) VISA MASTERCARD DELTA MAESTRO SOLO

Valid from* | Expiry date* | Issue number* (Solo/Maestro only)

Card number*

*Please complete according to the information on your credit/debit card.

Cardholder's name and address if different from above

Cardholder's Signature | Date

Please fax the completed form if paying by credit/debit card on +44 (0)20 8530 3052 or send with your cheque to CII, Customer Service, 42–48 High Road, South Woodford, London E18 2JP

If you have a UK bank account you can spread the cost of membership by paying via monthly Direct Debit at no extra charge.

By paying via monthly Direct Debit, you will automatically be entered into a prize draw to win a year's free subscription to the PFS. Please call PFS Customer Service on +44 (0)20 8530 0852 to set up a monthly Direct Debit over the phone or complete the Direct Debit mandate below, sign the declaration in Section E and return to PFS Customer Service.

Instructions to your Bank or Building Society to pay by Direct Debit (Please complete all fields)

DIRECT Debit

1. Name and full postal address of your Bank or Building Society branch

To: The Manager (Bank/Building Society)

Address

Postcode

Please complete this Direct Debit instruction if you have a **UK Bank account.**
Post only to: CII, Customer Service, 42–48 High Road, South Woodford, London E18 2JP

Originator's identification no.

9 9 6 6 4 5

2. Name(s) of account holder(s)

3. Bank or Building Society account number | 4. Branch sort code | 5. Reference number (CII PIN)

I wish to pay my subscription by monthly Direct Debit payments

Signature | Date

Banks and Building Societies may decline to accept instructions to pay Direct Debits from some types of accounts.

The Direct Debit Guarantee: The Guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society. If the amounts to be paid or the payment dates change The PFS/CII will notify you 10 working days in advance of your account being debited or as otherwise agreed. If an error is made by The PFS/CII or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid. You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to The PFS/CII.

"At AXA Wealth we understand how important it is for our colleagues to have the right skills and knowledge so they can help our clients achieve their financial ambitions. We are committed to investing in the development of our people to carry out this key objective. When the RDR said that the minimum level of qualification for advisers would be raised, we needed relevant solutions for both our existing colleagues and new recruits.

The CII's new suite of RDR-compliant examinations, which meet the new exam standards in full, is ideal for our requirements. Crucially, the CII qualification framework provides development opportunities beyond the RDR minimum benchmark in the form of the Advanced Diploma qualification and Chartered Financial Planner status, which supports our strategic goal of developing our people."

Frank Parsons
Head of Wealth Adviser Division
AXA Wealth

AXA WEALTH
redefining / standards

The Chartered Insurance Institute 42–48 High Road, South Woodford, London E18 2JP
tel: **+44 (0)20 8989 8464** fax: **+44 (0)20 8530 3052** email: **customer.serv@cii.co.uk** website: **www.cii.co.uk**

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