

# Financial services qualifications

2017 Information for candidates

## Gaining your professional advantage

Dedicated routes include:  
Financial planning  
Investments and securities  
Life and pensions  
Mortgages and equity release



# Supporting your success

Membership of the leading professional body for the financial planning profession gives you the tools and ongoing support to help you achieve your professional goals.

Join the Personal Finance Society today and enjoy the following exclusive benefits and career support:

- Free Statement of Professional Standing (where applicable)
- Use of professional designations (upon completion of relevant qualifications)
- A respected code of professional ethics
- Discounts on qualifications and learning materials and access to revision and exam resources
- A regional support network offering a programme of business relevant CPD events, best practice guidance and peer networking (UK, Channel Islands and Isle of Man only)
- Specialist technical events and online resources
- CPD planning and recording tool with mobile app
- Market news and features through our bi-monthly member magazine, Personal Finance Professional
- Regular e-newsletters signposting important developments and the latest resources
- Pathway to Chartered Financial Planner status
- An affinity benefits scheme providing discounts and exclusive member benefits.



As an experienced financial planner, striving to provide exceptional service, membership – and Chartered status – demonstrates my commitment to professionalism and achieving high standards.

Lee Smythe FPFS  
Chartered Financial Planner  
Managing Director, Smythe & Walter



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- Mortgages and equity release

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## The Chartered Insurance Institute (CII) Professionalism in practice

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

With over 120,000 members in more than 150 countries, the CII is the world's largest professional body dedicated to these sectors.

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](http://www.cii.co.uk)



## 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.

### Customer Service

42–48 High Road, South Woodford,  
London E18 2JP  
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Membership from  
**£6.24 a month\***

For more information and to join, visit:  
**[www.thepfs.org/join](http://www.thepfs.org/join)**  
Or call +44 (0)20 8530 0852

\*UK taxpayers can claim income tax relief on membership fees.

The CII financial services framework is driven by what's happening in the market, addressing a broad range of regulatory and professional qualification requirements.

Whether you're a financial planner, paraplanner, intend to become a mortgage adviser, or work in a related support role, CII qualifications develop knowledge and capability to support you throughout your career. For examples of qualification routes matched to different job roles visit [www.cii.co.uk/fs-routes](http://www.cii.co.uk/fs-routes)

## Quality assurance at every level

Being registered with Ofqual in the Regulated Qualifications Framework (RQF), CII qualifications and examinations are quality assured. They are available at four levels of difficulty, catering for a range of knowledge and experience.

Levels can be understood in the following terms:

<b>LEVEL 2</b> = GCSE standard (grade A*-C)	<b>LEVEL 3</b> = A-level standard	<b>LEVEL 4</b> = First year of a degree standard	<b>LEVEL 6</b> = Honours degree standard
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You can access further information on Ofqual and the RQF online at [www.ofqual.gov.uk](http://www.ofqual.gov.uk)

## Our suite of financial services qualifications now includes:

Financial planning	Investments and securities	Life and pensions	Mortgages and equity release
<b>LEVEL 3</b> Award in Long Term Care Insurance	<b>LEVEL 3</b> Certificate in Investment Operations	<b>LEVEL 2</b> Award in Life and Pensions Foundations	<b>LEVEL 3</b> Certificate in Mortgage Advice
<b>LEVEL 4</b> Award in Pensions Update	<b>LEVEL 4</b> Certificate in Securities Advice and Dealing	<b>LEVEL 3</b> Award in Financial Administration	<b>LEVEL 3</b> Certificate in Equity Release
<b>LEVEL 4</b> Certificate in Paraplanning	<b>LEVEL 4</b> Certificate in Discretionary Investment Management	<b>LEVEL 3</b> Certificate in Financial Services*	<b>LEVEL 4</b> Certificate in Advanced Mortgage Advice
<b>LEVEL 4</b> Certificate in Pension Transfers		<b>LEVEL 3</b> Certificate in Regulated Financial Services Operations	
<b>LEVEL 4</b> Diploma in Regulated Financial Planning			
<b>LEVEL 4</b> Diploma in Financial Planning			
<b>LEVEL 6</b> Advanced Diploma in Financial Planning			

Further information on these qualifications can be found on the pages overleaf. To compare the key components and requirements of all the CII's financial services qualifications visit [www.cii.co.uk/fs-keyfacts](http://www.cii.co.uk/fs-keyfacts)

## Award in Retail Banking withdrawal

The Award in Retail Banking is being withdrawn at the end of April 2017. For more information on the Award visit [www.cii.co.uk/award-retailbanking](http://www.cii.co.uk/award-retailbanking)

Studying for a qualification can sometimes seem quite daunting, especially if you've been out of formal education for a while. But there's no need to worry about making the right choices, 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.

## Your guide to studying with us

When starting study with the CII there are a number of steps to take and decisions you'll need to make. As a guide we recommend you consider the following:

### Enjoy unique member benefits

Joining the PFS/CII gives you an advantage by creating a platform for your study. It gives you privileged access to technical information including an archive of past exam papers for written exams and online technical library.

You get discounts on CII study materials and exam entry, saving up to 38%. Membership also supports you in your working life. For example, adviser members can apply for their free Statement of Professional Standing (SPS), and qualified members receive free access to a regulator approved CPD programme.

See the inside front cover for more details.

### Non-CII qualifications can count

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

For further information visit [www.cii.co.uk/prior-learning](http://www.cii.co.uk/prior-learning) where you'll find full guidance on the rules, requirements, fees and an application form.

### Plan your unit pathway

Apart from single-unit 'Awards', CII qualifications require completion of a number of different units, each covering a specific topic.

Some qualifications are designed to meet Financial Conduct Authority (FCA) appropriate qualification requirements, and are, therefore, made up of specific combinations of units. We suggest these are completed in sequence as they often build upon one another.

Others, like the Diploma and Advanced Diploma in Financial Planning, allow you to self-select units according to your individual circumstances.

Completion requirements for all qualifications can be found on **pages 4-11** and further information on each unit can be found on **pages 12-13**.

### Create a personalised learning programme

You can make studying simpler by taking advantage of the available support, and by selecting study and revision materials that best suit your preferred style of learning.

Exam results show that a blended learning approach, using a combination of learning and revision materials, substantially increases your chance of first-time exam success.

Find out more about available learning materials on **pages 14-17**.

### Take exams when you're ready

Multiple-choice question exams tested at online centres are offered throughout the year, typically weekly, so pick your choice of time and location. Written exams are typically available twice-yearly in April and October.

Get the dates for your diary on **pages 18-19**.

\* The Certificate in Financial Services is also suitable for those working in financial planning operational or technical support roles.

## Diploma in Regulated Financial Planning

### Overview

The Diploma in Regulated Financial Planning meets the FCA's qualification requirements in full for those advising on retail investment products.

The Diploma develops core technical knowledge and financial planning capabilities, covering:

- (R01) Financial services, regulation and ethics;
- (R02) Investment principles and risk;
- (R03) Personal taxation;
- (R04) Pensions and retirement planning;
- (R05) Financial protection; **and**
- (R06) Financial planning practice.

Holders of unit R01 may be authorised to advise under supervision by their firm while they work towards completion of the full Diploma.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **100 CII credits** by passing the following six compulsory units: R01–R06.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning package
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### Award in Pensions Update (R08)

The CII Pensions Update Programme, which leads to the completion of the RQF Level 4 Award in Pensions Update, offers a complete continuing professional development (CPD) solution that helps planners, paraplanners and those in related roles, stay up to speed with the reforms introduced in April 2015.

The programme comprises unit (R08) Pensions update and includes a study text, online revision support and first exam entry, all for a single fee. Visit [www.cii.co.uk/pensionsupdate](http://www.cii.co.uk/pensionsupdate) for further information or find out more about unit R08 from **page 12**.

### PFS member designation\*

DipPFS

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/dip-rfp](http://www.cii.co.uk/dip-rfp)

### Next step qualification

Advanced Diploma in Financial Planning

## Diploma in Financial Planning

### Overview

The Diploma in Financial Planning meets the FCA's qualification requirements for those advising on retail investment products (subject to additional gap fill, see [www.cii.co.uk/gapfill](http://www.cii.co.uk/gapfill) for more information).

With 37 units to choose from, the Diploma in Financial Planning can develop core technical knowledge and understanding across a broad range of key advisory areas. These include the Diploma in Regulated Financial Planning units listed left, the Diploma units listed below and Advanced Diploma units opposite:

- (J02) Trusts;
- (J03) The tax and legal aspects of business;
- (J05) Pension income options;
- (J07) Supervision in a regulated environment;
- (J09) Paraplanning;
- (J10) Discretionary investment management;
- (J11) Wrap and platform services;
- (J12) Securities advice and dealing;
- (R07) Advanced mortgage advice; **and**
- (R08) Pensions update.

### Entry requirements

None, but one of the following CII qualifications, or equivalent, must be held in order to complete: Certificate in Financial Services, Certificate in Regulated Financial Services Operations or withdrawn Certificate in Financial Planning.

### Completion requirements

To complete you need to obtain **140 CII credits**, of which:

- At least **80 CII credits** must be at **Diploma-level** (units J02, J03, J05, J07, J09–J12, R01–R04, and R06–R08). The following can also count towards this requirement:
  - Credits from withdrawn CII AFPC units; **and**
  - One Advanced Diploma in Financial Planning unit (AF1–AF6) or a maximum of 30 non-specific Advanced Diploma credits.
- The remaining credits can come from any CII financial services units, excluding unit LF1, subject to a maximum of 30 Advanced Diploma-level credits or 30 non-specific Advanced Diploma-level credits being used overall.

Turn to **pages 12–13** for further information on these units.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation\*

DipPFS

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/dip-financialplanning](http://www.cii.co.uk/dip-financialplanning)

### Next step qualification

Advanced Diploma in Financial Planning

## Advanced Diploma in Financial Planning

### Overview

The Advanced Diploma in Financial Planning builds on existing skills and knowledge, enabling advisers to develop specialist planning capabilities and offer a sophisticated and comprehensive approach to financial management.

Completion leads to Chartered Financial Planner status, see right for details.

The Advanced Diploma requires completion of at least four of the following six financial planning units:

- (AF1) Personal tax and trust planning;
- (AF2) Business financial planning;
- (AF3) Pension planning (final exam Apr 18)\*;
- (AF4) Investment planning;
- (AF5) Financial planning process (**compulsory**); **and**
- (AF6) Senior management and supervision.

These units build on Diploma-level learning. Visit this qualification's webpage for examples of topic-specific study routes.

\* Visit [www.cii.co.uk/fp-developments](http://www.cii.co.uk/fp-developments) for details of enhancements being made to CII Level 6 pensions exams.

### Entry requirements

None, but one of the following qualifications must be held in order to complete:

- Diploma in Financial Planning; **or**
- Diploma in Regulated Financial Planning.

### Completion requirements

To complete you need to obtain **290 CII credits**, of which:

- At least **120 CII credits** must be at **Advanced Diploma-level** (units AF1–AF6). Where you already hold withdrawn CII AFPC units these will count towards this requirement.
  - These must include compulsory unit AF5 (holders of AFPC unit (H25) Holistic financial planning satisfy this requirement).
- A further **40 CII credits** must be at **Diploma-level** or above.
- The remaining credits can come from any CII financial services units, excluding LF1.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Case study workbook
- RevisionMate online study support
- Audio revision
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation\*

APFS

### RQF Level

6

### More details and to enrol online

[www.cii.co.uk/adip-financialplanning](http://www.cii.co.uk/adip-financialplanning)

### Next step qualification

PFS Fellowship or graduate and postgraduate courses (see opposite)

## Beyond the Advanced Diploma

### Chartered status

Advanced Diploma holders are eligible for Chartered Financial Planner status, which is now held by over 5,000 individuals, subject to having five years' experience (not necessarily post-qualification).

Independent research confirms that Chartered status resonates best with the public in terms of recognition, trust and confidence.

It therefore helps place the financial advice sector on a par with other professions, such as accountants and solicitors and distinguishes holders from their competitors and peers.

The CII also offers corporate Chartered status to qualifying financial planning firms, further enhancing the visible professionalism of the advice sector. The eligibility criteria for corporate Chartered status include requirements relating to the holding of Chartered status by individuals. Visit [www.cii.co.uk/chartered](http://www.cii.co.uk/chartered) for further information.

### PFS Fellowship

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

### Fast track and direct entry graduate and postgraduate courses

The CII has partnered with a panel of UK universities to give Advanced Diploma holders fast-track and/or direct entry routes to a programme of graduate and postgraduate degree courses. These range from Bachelor degrees in financial services and management practice to Masters in wealth management, finance, marketing and business administration. Course formats includes both full-time and part-time study and, in some instances, distance learning.

Visit [www.cii.co.uk/degrecourses](http://www.cii.co.uk/degrecourses) for further information.

## Specialist options

### Group risk exam (GR1)

Developed in conjunction with Group Risk Development (GRiD) this is the only dedicated examination for the group risk market. Unit GR1 develops understanding of all aspects of the group risk sector, including the background of UK group risk products and the employee benefits market in general. It covers specific product features and explores the roles of intermediaries, insurers and reinsurers.

It can be sat on a stand-alone basis by anyone wanting to develop their knowledge of this important market or as study towards other CII qualifications such as the Diploma and Advanced Diploma in Financial Planning. Visit [www.cii.co.uk/shop/GR1](http://www.cii.co.uk/shop/GR1) for further information.

### Award in Long Term Care Insurance (CF8)

This single unit qualification develops knowledge and understanding of long term care insurance contracts, and the legal, taxation and regulatory issues relevant to advising on this class of business.

Candidates who pass this unit and hold any of the following qualifications (or equivalent) will meet the FCA's appropriate qualification requirements for advising on long term care insurance products: the Diploma in Regulated Financial Planning, Diploma in Financial Planning and Certificate in Financial Planning. Visit [www.cii.co.uk/award-ltc](http://www.cii.co.uk/award-ltc) for further information.

\* PFS/CII membership and Continuing Professional Development requirements apply.

## Certificate in Paraplanning

### Overview

This qualification meets the specific needs of paraplanners, or those aspiring to be paraplanners. It offers a dedicated qualification route that develops core technical knowledge in a number of key advisory areas and specialist report writing skills that help with the provision of sound professional advice.

The Certificate comprises four compulsory units:

- (R01) Financial services, regulation and ethics; **or**
- (CF1) UK financial services, regulation and ethics;
- (R02) Investment principles and risk;
- (R03) Personal taxation; **and**
- (J09) Paraplanning.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **80 CII credits** by passing compulsory units: R01 or CF1, R02, R03 and J09.

For this qualification only, holders of the following withdrawn CII units will satisfy the R02 and R03 compulsory unit requirements:

- (J06) Investment principles, markets and environment **or** (G70) Investment portfolio management = R02; **and**
- (J01) Personal tax = R03.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning programme
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation\*

CertPFS (Paraplanning)

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/cert-paraplanning](http://www.cii.co.uk/cert-paraplanning)

### Next step qualification

Diploma in Regulated Financial Planning or Advanced Diploma in Financial Planning

## NEW Certificate in Pension Transfers

### Overview

The Certificate in Pension Transfers provides the in-depth knowledge and practical skills needed by anyone seeking to advise on the transfer of safeguarded benefits, an increasingly important part of the advice process following the Government's pension reforms.

The RQF Level 4 Certificate includes new Level 6 unit (AF7) Pension transfers. Visit [www.cii.co.uk/fp-developments](http://www.cii.co.uk/fp-developments) for details of related developments at Level 6.

Pending FCA approval expected in Feb 2017, the Certificate is intended to satisfy the appropriate qualification requirements for those wanting to undertake pension transfer activities. For the latest position please monitor [www.cii.co.uk/cert-pensiontransfers](http://www.cii.co.uk/cert-pensiontransfers)

The Certificate comprises four compulsory units:

- (R01) Financial services, regulation and ethics;
- (R02) Investment principles and risk;
- (R04) Pensions and retirement planning; **and**
- (AF7) Pension transfers – Study text available July, first exam October.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **70 CII credits** by passing compulsory units: R01, R02, R04 and AF7.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning programme
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation

Not available

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/cert-pensiontransfers](http://www.cii.co.uk/cert-pensiontransfers)

### Next step qualifications

Diploma in Regulated Financial Planning or Advanced Diploma in Financial Planning

## Certificate in Investment Operations

### Overview

The Certificate in Investment Operations is an introductory qualification that provides the essential knowledge and skills needed by a wide range of operational staff working with investments. It develops a general understanding of financial services and provides a practical insight into one of three areas of investment operations.

Importantly, the Certificate also satisfies the FCA qualification requirements for overseers of certain investment operations functions.

The Certificate comprises two compulsory units and one elective:

- (R01) Financial services, regulation and ethics; **or**
- (CF1) UK financial services, regulation and ethics; **and**
- (FA4) Collective investment scheme administration; **or**
- (FA5) Individual savings accounts administration; **or**
- (FA6) Investment client servicing.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **25 CII credits** by passing compulsory units: R01 or CF1 and one unit from: FA4–FA6.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation

Not available

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/cert-investmentoperations](http://www.cii.co.uk/cert-investmentoperations)

### Next step qualifications

Certificate in Regulated Financial Services Operations

## Certificate in Securities Advice and Dealing

### Overview

The Certificate in Securities Advice and Dealing satisfies the FCA's appropriate qualification requirements for those advising and/or dealing in securities and is also suitable for those working in a support role who want to develop their knowledge of this sector.

The Certificate comprises four compulsory units:

- (R01) Financial services, regulation and ethics;
- (R02) Investment principles and risk;
- (R03) Personal taxation; **and**
- (J12) Securities advice and dealing.

Diploma in Financial Planning holders should note that also passing unit J12 satisfies the FCA's appropriate qualification requirements for advising on and/or dealing in securities.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **70 CII credits** by passing compulsory units: R01–R03 and J12.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation\*

CertPFS (Securities)

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/cert-securities](http://www.cii.co.uk/cert-securities)

### Next step qualification

Diploma in Regulated Financial Planning

## Certificate in Discretionary Investment Management

### Overview

This qualification develops the wealth strategy and portfolio management skills required for effective discretionary investment management, and satisfies the FCA's appropriate qualification requirements for this class of business.

The Certificate is also relevant for those monitoring the outsourcing of this activity and for those in investment-related support roles who wish to develop their knowledge of investments.

The Certificate comprises two compulsory units:

- (R01) Financial services, regulation and ethics; **and**
- (J10) Discretionary investment management.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **40 CII credits** by passing compulsory units: R01 and J10.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### PFS member designation\*

CertPFS (DM)

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/cert-investmentmanagement](http://www.cii.co.uk/cert-investmentmanagement)

### Next step qualification

Diploma in Regulated Financial Planning

## Award in Life and Pensions Foundations

### Overview

The Award in Life and Pensions Foundations is an introductory-level qualification that provides an understanding of key life and pensions topics, including: customer needs and solutions across pensions, protection, investments and savings; the sector's value to society and the economy; and the importance of professional conduct and maintaining a customer focus.

The Award is particularly suitable for those who are new to the sector, although is also suitable for those in existing roles looking to demonstrate and enhance their knowledge of the sector. The Award is also relevant for those in associated industries and support roles who require an introduction to life and pensions.

The Award comprises one compulsory unit: (LF1) Life and pensions foundations.

### Entry requirements

None.

### Completion requirements

To complete you need to pass compulsory unit LF1.

Turn to **pages 12–13** for further information on this unit, including recommended minimum study hours and assessment method.

### Learning support

Study materials for this qualification include:

- Study text with updates
- RevisionMate online study support.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation

Not available

### RQF Level

2

### More details and to enrol online

[www.cii.co.uk/award-lpf](http://www.cii.co.uk/award-lpf)

### Next step qualification

Award in Financial Administration or Certificate in Financial Services

## Award in Financial Administration

### Overview

The Award in Financial Administration is an introductory qualification providing a vital grounding in the financial services sector, the process of investment planning, and the administration of life or pensions business, depending on the unit selected.

Importantly, it satisfies the FCA qualification requirements for overseers of certain administrative life and pensions functions.

The Award comprises two compulsory units:

- (R01) Financial services, regulation and ethics; **or**
- (CF1) UK financial services, regulation and ethics; **and**
- (FA1) Life office administration; **or**
- (FA2) Pensions administration.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **25 CII credits** by passing compulsory units: R01 or CF1 and FA1 or FA2.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically includes:

- Study text with updates
- RevisionMate online study support
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation

Not available

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/award-financialadministration](http://www.cii.co.uk/award-financialadministration)

### Next step qualifications

Certificate in Financial Services

## Certificate in Financial Services

### Overview

The Certificate in Financial Services has been developed to meet the needs of those working in operational and technical support roles, and offers targeted learning routes.

**The new Life and Pensions route** develops knowledge and understanding of the sector's role and its activities; key customer needs, solutions and products; and how individuals and organisations work within a regulatory and legislative environment.

It is particularly suitable for those working in the life, pensions and long term savings sector, including customer operations back-office staff and contact centre team leaders.

**The General route** develops fundamental knowledge of the financial services sector, including regulation, legislation, customer service, administration, marketing in financial services and key products.

It's ideal for those providing operational support to financial planners, paraplanners and technical support staff.

### Entry requirements

None.

### Completion requirements

To complete the life and pensions route you need to obtain **45 CII credits** by passing compulsory units: LP1, LP2 or withdrawn FA7 and LP3.

To complete the general route you need to obtain **35 CII credits**, which must include compulsory units R01 or CF1 and LP2 or withdrawn FA7.

Turn to **pages 12–13** for further information on these units.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designations\*

Life and Pensions route: Cert CII (Life and Pensions)

General route: Cert CII (FS)

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/cert-financialservices](http://www.cii.co.uk/cert-financialservices)

### Next step qualifications

Diploma in Financial Planning

\* PFS/CII membership and Continuing Professional Development requirements apply.

## Certificate in Regulated Financial Services Operations

### Overview

The Certificate in Regulated Financial Services Operations (previously known as the Certificate in Financial Services, product-specific route) develops fundamental knowledge of the financial services sector, including regulation, legislation, and overseeing and administering financial products across a range of areas.

It's ideal for those involved in or overseeing the operational delivery of life, pensions or investment products, in addition to other financial services support roles.

This three unit route offers an ideal next-step for holders of the Award in Financial Administration or Certificate in Investment Operations, requiring completion of one further unit.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **35 CII credits**, which must include compulsory units R01 or CF1 and two units from: FA1, FA2, FA4–FA6.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation\*

Cert CII (FS)

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/cert-rfso](http://www.cii.co.uk/cert-rfso)

### Next step qualification

Diploma in Financial Planning

## Certificate in Mortgage Advice

### Overview

The Certificate in Mortgage Advice is relevant for those intending to become mortgage advisers or those working in a support role. It develops an understanding of the sector, the mortgage process and enables advisers to meet individual client needs.

Completion of the Certificate meets the FCA's appropriate qualification requirements for mortgage advisers.

The Certificate in Mortgage Advice comprises two compulsory units:

- (R01) Financial services, regulation and ethics; **or**
- (CF1) UK financial services, regulation and ethics; **and**
- (CF6) Mortgage advice.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **35 CII credits** by passing compulsory units: R01 or CF1 and CF6.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning programme
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation\*

Cert CII (MP)

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/cert-mortgageadvice](http://www.cii.co.uk/cert-mortgageadvice)

### Next step qualification

Certificate in Advanced Mortgage Advice

## Certificate in Equity Release

### Overview

The Certificate in Equity Release is relevant for anyone seeking to advise on equity release products (both home reversion plans and lifetime mortgages), and for those who work in a support role in this sector.

Holders of the Certificate meet the FCA's appropriate qualification requirements for advising on this class of business.

The Certificate in Equity Release comprises three compulsory units:

- (R01) Financial services, regulation and ethics; **or**
- (CF1) UK financial services, regulation and ethics;
- (CF6) Mortgage advice; **and**
- (ER1) Equity release.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **50 CII credits** by passing compulsory units: R01 or CF1, CF6 and ER1.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning programme
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation\*

Certs CII (MP & ER)

### RQF Level

3

### More details and to enrol online

[www.cii.co.uk/cert-equityrelease](http://www.cii.co.uk/cert-equityrelease)

### Next step qualification

Certificate in Advanced Mortgage Advice

## Certificate in Advanced Mortgage Advice

### Overview

The Certificate in Advanced Mortgage Advice goes beyond the FCA's minimum qualification requirements and enables mortgage advisers to continue developing their advice capabilities. It also brings advisers and those working in support roles up to speed with recent changes to the mortgage process arising from the Mortgage Market Review.

The Certificate is an ideal next-step for candidates who hold the Certificate in Mortgage Advice or Certificate in Equity Release, only requiring completion of one further unit where units R01 and CF6 are held.

The Certificate in Advanced Mortgage Advice comprises three compulsory units:

- (R01) Financial services, regulation and ethics;
- (CF6) Mortgage advice; **and**
- (R07) Advanced mortgage advice.

### Entry requirements

None.

### Completion requirements

To complete you need to obtain **55 CII credits** by passing compulsory units: R01, CF6 and R07.

Turn to **pages 12–13** for further information on these units, including recommended minimum study hours and assessment methods.

### Learning support

Unit study materials for this qualification typically include:

- Study text with updates
- RevisionMate online study support
- Blended learning programme
- Key fact booklets
- Question packs
- Audio revision
- Learn interactive tutorial
- Revision courses.

See **pages 14–17** for further details, including unit availability and fees.

### CII member designation\*

Cert SMP

### RQF Level

4

### More details and to enrol online

[www.cii.co.uk/cert-ama](http://www.cii.co.uk/cert-ama)

\* CII membership and Continuing Professional Development requirements apply.

\* CII membership and Continuing Professional Development requirements apply.

Once you've selected your chosen qualification and understood the completion requirements, you'll need to plan your unit pathway. This section gives you more information on each unit and highlights where you can find further information online.

<b>LEVEL 6</b>	(AF5) Financial planning process <sup>2</sup> 30 credits, 150 study hours	(AF6) Senior management and supervision 30 credits, 150 study hours	(AF7) Pension transfers 20 credits, 100 study hours <b>Available July 17</b>
	(AF1) Personal tax and trust planning 30 credits, 150 study hours	(AF2) Business financial planning 30 credits, 150 study hours	(AF3) Pension planning <sup>4</sup> 30 credits, 150 study hours
<b>LEVEL 4</b>	(J12) Securities advice and dealing 20 credits, 70 study hours	(R07) Advanced mortgage advice 15 credits, 70 study hours	(R08) Pensions update 10 credits, 50 study hours
	(J07) Supervision in a regulated environment <sup>1</sup> 20 credits, 100 study hours	(J09) Paraplanning 30 credits, 100 study hours	(J10) Discretionary investment management 20 credits, 80 study hours
	(R06) Financial planning practice <sup>1</sup> 30 credits, 100 study hours	(J02) Trusts 20 credits, 100 study hours	(J03) The tax and legal aspects of business <sup>1</sup> 20 credits, 100 study hours
	(R01) Financial services, regulation and ethics 20 credits, 60 study hours	(R02) Investment principles and risk <sup>1</sup> 20 credits, 60 study hours	(R03) Personal taxation <sup>1</sup> 10 credits, 50 study hours
<b>LEVEL 3</b>	(LP2) Financial services products and solutions <sup>1</sup> 20 credits, 100 study hours	(LP3) Life and pensions principles and practices 10 credits, 50 study hours	(RB1) Retail banking services and conduct <sup>5</sup> 15 credits, 70 study hours
	(FA5) Individual savings account administration 10 credits, 70 study hours	(FA6) Investment client servicing 10 credits, 70 study hours	(ER1) Equity release <sup>1</sup> 15 credits, 70 study hours
	(GR1) Group risk <sup>2</sup> 10 credits, 50 study hours	(FA1) Life office administration 10 credits, 60 study hours	(FA2) Pensions administration 10 credits, 60 study hours
	(CF1) UK financial services, regulation and ethics <sup>1</sup> 15 credits, 60 study hours	(R05) Financial protection <sup>1</sup> 10 credits, 50 study hours	(CF6) Mortgage advice 20 credits, 100 study hours
<b>LEVEL 2</b>	(LF1) Life and pensions foundations <sup>3</sup> 40 study hours		

**Notes**

- 1 This unit is treated as equivalent to a withdrawn CII unit. Refer to 'CII credit awards for similar units' opposite for more information.
- 2 Not Ofqual registered.
- 3 Unit LF1 does not award any CII credits.
- 4 Unit AF3 is being withdrawn and will be examined for the final time in April 2018. Visit [www.cii.co.uk/fp-developments](http://www.cii.co.uk/fp-developments) for further details.
- 5 Unit RB1 is being withdrawn and will be examined for the final time in April 2017.

**Assessment method**

Each unit covers an individually assessed topic. Assessment methods vary and depend on a unit's level and subject matter.

- Written exam**  
Tested in April and October and also January and July for R06. Results are released after nine weeks (six weeks for R06).
- Online exam**  
Multiple-choice questions, tested year-round, typically weekly, at online exam centres, with immediate notification of results online.
- Coursework assignments**  
Three assignments, each typically 2,000 to 3,000 words, which need to be passed within a 12 month enrolment period.

**Unit syllabuses**

CII units are based on the published syllabuses which set out the learning outcomes expected of candidates during the assessment. It is essential that you familiarise yourself with these before commencing study.

Units	Assessment method	Nominal pass mark*	
LF1, FA1, FA2 FA4-FA6	1 hour exam comprising 50 MCQs	70%	
LP2	2 hour exam comprising 75 MCQs		
RB1			
LP1	90 minute exam comprising 15 MCQs plus 35 MCQs linked to 7 case studies		
LP3	90 minute exam comprising 50 MCQs		
CF6	3 hour exam comprising 100 MCQs and 5 case studies, each comprising 5 MCQs		
CF8, ER1	2 hour exam comprising 50 MCQs and 5 case studies, each comprising 5 MCQs		
J02, J03, J05, J07	2 hour exam comprising 15 compulsory written short answer questions		55%
J11	2 hour exam comprising compulsory written short answer questions and 2 essay-style questions		
J09	3 written coursework assignments, each typically 2,000 to 3,000 words		65%
J10	2 hour exam comprising 70 MCQs and 4 case studies each comprising 5 MCQs	R01-R04, J10, J12, R07, R08: 65% CF1, GR1, R05: 70%	
J12	2 hour exam comprising 60 MCQs and 3 case studies each comprising 5 MCQs		
CF1, R01, R02	2 hour exam comprising 100 MCQs		
GR1, R03-R05	1 hour exam comprising 50 MCQs		
R07	2 hour exam comprising 55 MCQs and 4 case studies, each comprising 5 MCQs		
R08	1 hour exam comprising 40 MCQs and 1 case study comprising 5 MCQs		
R06	3 hour exam comprising 2 written case studies on financial planning practice. Candidates receive the case studies two weeks before the exam		55%
AF1-AF4	3 hour case study based exam. 160 marks spread over 3 compulsory questions		
AF5	3 hour exam. Candidates receive a 'fact find' two weeks before the examination. The exam tests key aspects of the financial planning process as applied to the client scenario		55%
AF6	3 written coursework assignments, each typically 2,000 to 3,000 words		
AF7 (first exam Oct 17)	2 hour exam comprising 3-4 compulsory written short answer questions and 2 case study based questions	60%	

\* The nominal pass mark is shown, however, the actual pass mark may vary from one session to another to ensure that the pass standard remains constant.

Syllabuses may also specify entry guidance, where existing knowledge gained from previous study is required, and identify published material designed to help candidates prepare for exams or coursework assessment.

Visit [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) (and select your qualification) to download unit syllabuses.

**CII credit awards for similar units**

Due to the extent of syllabus overlap, certain combinations of current and withdrawn CII units will result in only one award of credits. If a withdrawn equivalent is held you may not need to complete a current unit in order to satisfy a qualification's completion rules.

Where two of these 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 (for which you will gain no credits).

Visit [www.cii.co.uk/similar-units](http://www.cii.co.uk/similar-units) for details.



Once you've chosen your unit you can purchase a study option. Blended learning offers a complete learning, revision and exam package, whilst other study options provide core learning support.

Study options	Units	Cost per unit	
		Member	Non-member
<b>Blended learning and exam package</b> <b>Units AF1, AF3 and AF4</b> The package for these units includes: Case study workbook with updates; RevisionMate online study support (which includes the latest exam guide), audio revision, an exam entry and 20% off any revision course for the unit selected. <b>Note:</b> this package is only available to purchase from August through to April, when audio revision is offered for these units. <b>Units R01–R06</b> The package for these units includes: study text with updates, RevisionMate online study support (which includes the latest exam guide), key fact booklet, Learn interactive tutorial, audio revision, question pack (excl. R06), 20% off any revision course for the unit selected. <b>Units CF1 and CF6</b> The package for these units includes: study text with updates, RevisionMate and online study support (which includes the latest exam guide), key fact booklet, Learn interactive tutorial, an exam entry and 20% off any revision course for the unit selected. See overleaf for information on revision aids. <b>Important note:</b> We recommend you sit the exam during your study option's testing/enrolment period (see opposite page for details). However, <b>exams can be sat up to 18 months from the point of purchase</b> and a study option renewal service is available if needed.	AF1, AF3, AF4	£273	£334
	R01, R02, R03, R04, R06	£263	£338
	CF1, CF6, R05	£205	£244
	Package prices include a 20% discount on individual member and non-member prices.		
<b>Study text and exam package</b> This includes a study text with updates (see 'study text with updates' below) and first exam entry. See important note above regarding exam entry expiry.	LF1	£86	£98
	LP1–LP3, RB1	£160	£195
	R08	£138	£185
<b>Study text with updates</b> Available in either printed or ebook format, study texts offer structured self-study that develops understanding and learning of the exam syllabus. Chapters clearly define learning outcomes and include self-test questions. Includes electronic updates to the study text, and access to a host of online study support services through our RevisionMate study tool.	CF1, CF6, CF8, ER1, GR1, FA1, FA2, FA4–FA6, LP1–LP3, R05	£70	£85
	R01–R04, R06, R07, J02, J03, J05, J07, J10–J12	£92	£127
	AF7 available in Jul 17	£144	£168
<b>Coursework assessment including study text with updates</b> In addition to the provision of a study text, electronic updates and RevisionMate study support, this option includes the marking of the three 2,000 to 3,000 word coursework assignments (first submissions only) which must be passed within the 12 month enrolment period. <b>See opposite for more information.</b>	J09	£408	£496
	AF6	£443	£530
<b>Case study workbook with updates</b> Offering structured self-study that gives guidance on key areas and practice in answering case study questions, similar to those you will complete in the exam. Includes electronic updates and access to a host of online study support services through our RevisionMate study tool.	AF1–AF4	£144	£168

## Study option guidance

### Certificate-level units, R0 units, J10 and J12 – multiple-choice question exam

Available to purchase year-round, core study texts are based on tax year specific unit syllabuses, which are tested from 01 September through to 31 August, typically weekly. Unit RB1 is the only exception, which is tested from 01 May through to 30 April.

During these times you can access online study text updates and should sit the exam whilst your material remains current. Study material reflecting the new tax year can be purchased from July each year, for examination from September – please ensure you purchase materials for the period in which you plan to sit the exam.

### J02, J03, J05, J07, J11, AF1–AF4 and AF7 – written exam

Available to purchase year-round, core study texts are based on tax year specific unit syllabuses which are tested twice a year in April and October.

Study texts for these units come with a 12 month enrolment period, during which time you can access online study text updates and you are sent any new study text editions that are published (regardless of whether or not you hold a pass in the unit). This ensures your material is applicable to at least two exam sessions.

### J09 and AF6 – coursework assessment

Available to purchase year-round, this option also includes a study text based on a tax year specific unit syllabus. All three assignments, including any resubmissions, must be submitted within a 12 month enrolment period in order to complete the unit. Otherwise, you will need to re-enrol and complete three new assignments. You can access online study text updates during your enrolment.

To access our must-read guidelines and instructions and FAQs, visit:

- **J09:** [www.cii.co.uk/cert-paraplanning](http://www.cii.co.uk/cert-paraplanning)
- **AF6:** [www.cii.co.uk/adip-financialplanning](http://www.cii.co.uk/adip-financialplanning)

The following resubmission fees for failed J09 and AF6 assignments apply:

£127 members, £174 non-members

### Delivery of material

#### Printed

Once we have received your order you should allow 5 days for delivery of printed material within the UK and 21 days outside the UK. Study options delivered to a UK address will need to be signed for and include email/SMS delivery notifications and online tracking. To be kept updated on the progress of your delivery please ensure you have provided us with a valid email address and mobile number.

#### Electronic

For material delivered electronically, such as ebooks, we aim for same-day delivery for orders received before midday, Monday to Friday. Once available you'll receive an email with instructions on how to access your material.

### Study option renewal

You can extend the life of your study text or case study workbook enrolment once your course has expired. This option is renewable on an annual basis and you will be sent a letter inviting you to update your material. Turn to page 3 of the back and cheque application form at the back of this brochure for fees or visit [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) (select your qualification then unit).

## ebooks

Study texts and key fact booklets are available in ebook format, allowing you to study on the move and reduce your carbon footprint. The cost (incl. VAT) is the same as the equivalent printed study text, so when ordering just choose which version you want.

Once ordered, you'll be given access to a variety of formats (downloaded from RevisionMate) suitable for the majority of popular devices, such as iPad and Kindle. ebooks require appropriate ereader software to be installed on your portable device or computer. **Please note that once downloaded ebooks are non-refundable. ebooks are not supplied as PDF files and cannot be printed.**

Study text ebooks give you access to the same benefits as the printed study text, with the same enrolment period, updates to content and access to RevisionMate.

**Non-EU candidates:** ebooks attract VAT in the EU and therefore prices shown include VAT at the current rate of 20%. ebook enrolment fees for non-EU candidates, which exclude VAT, can be found online at [www.cii.co.uk/ebooks](http://www.cii.co.uk/ebooks)

Further information and free sample chapters can be found online at [www.cii.co.uk/ebooks](http://www.cii.co.uk/ebooks)

## RevisionMate study support

Available to candidates with a current study option enrolment, RevisionMate gives free access to an unrivalled suite of support tools designed to maximise the chances of exam success.

These typically include:

- **Online study text** – provided for quick reference
- **Study planner** – build a routine and manage time most effectively
- **Study tips** – get practical guidance on achieving the most from your studies
- **Student discussion forum** – share common queries and learn with peers
- **Quiz questions** – check understanding of the study text
- **Exam guide** – practice exam technique by downloading the latest CII exam guide.

For more information visit [www.cii.co.uk/revisionmate](http://www.cii.co.uk/revisionmate)

## Exam entry fees

With the exception of units RB1, LF1, LP1–LP3, R08, J09, AF6 and blended learning enrolments, there is a standard exam entry fee per unit.

See page 19 for details.

### Order securely online

Orders can be placed online by visiting [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) and selecting your qualification then unit.

You can supplement core learning by accessing a range of revision aids, developed to maximise your chance of passing.

Revision aids	Units	Cost per unit	
		Member	Non-member
<p><b>Exam guides</b></p> <p>For written exams these comprise a past paper with examiners' comments on candidates' performance and key points for inclusion in your answers. For online-tested units these comprise a complete mock exam and answers, highlighting syllabus areas covered and useful hints.</p> <p><b>Study option enrollees can download the latest exam guide for free from RevisionMate.</b> Alternatively, these are available to purchase online at <a href="http://www.cii.co.uk/qualifications">www.cii.co.uk/qualifications</a> (supplied as PDF files for you to print off).</p>	<p>Available for all units</p> <p>Free for new units LF1, LP1, LP2 and LP3. AF7 available in Feb 17</p>	£12 (incl. VAT)	£13 (incl. VAT)
<p><b>Key fact booklets</b></p> <p>Key fact booklets summarise the key information contained in the study text and are perfect for studying on the move. Available as either printed pocket-sized booklets or in ebook format. The cost of ekey fact booklets includes VAT, see the ebooks section on page 15 for more information.</p>	CF1, CF6, ER1, FA1, FA2, R01–R06	£26	£31
<p><b>Question packs</b></p> <p>Delivered online through RevisionMate, question packs provide comprehensive, flexible and interactive self-testing of the unit syllabus. Number of questions per pack: R01–R05 300, CF1 and R08 200 and CF6 250 (varies according to the number of questions in the exam).</p>	CF1, CF6, R01–R05, R08	£26 (incl. VAT)	£31 (incl. VAT)
<p><b>Audio revision</b></p> <p>MP3 audio material for R0 units covers the key elements of each subject and lasts between 3–5 hours, depending on the unit. The AF options cover key Diploma learning points that underpin application at Advanced level, together with exam technique guidance. Each lasts between 5–8 hours, depending on the unit selected.</p> <p>Delivered online via RevisionMate, audio files are simple to download and are great for making use of time spent when travelling. Produced by Patterson Audio.</p>	R01–R06, R08	£44 (incl. VAT)	£48 (incl. VAT)
	AF1, AF3, AF4	£70 (incl. VAT)	£76 (incl. VAT)
<p><b>Learn interactive tutorial</b></p> <p>This elearning course provides highly interactive study and is backed by a revision assessment tool for you to check understanding as you progress.</p> <p>Minimum system requirements:</p> <ul style="list-style-type: none"> <li>Operating system: Windows/OSX/Android/iOS</li> <li>Web browser: Latest versions of IE/Safari/Firefox/Chrome.</li> </ul> <p>To check compatibility with a computer or device you can access a course demo at <a href="http://www.cii.co.uk/elearning">www.cii.co.uk/elearning</a></p>	CF1, CF6, R01–R06	£44 (incl. VAT)	£48 (incl. VAT)

**Non-EU candidates:** ebooks, Learn, exam guides, question packs and audio revision all attract VAT in the EU and, therefore, prices shown include VAT at the current rate of 20%. Fees for non-EU candidates, which exclude VAT, can be found online at [www.cii.co.uk/ebooks](http://www.cii.co.uk/ebooks)

Delivered by our expert tutors, CII revision courses offer valuable support in the weeks leading up to the exam.

Revision courses	Units	Cost per unit	
		Member	Non-member
<p><b>Revision days</b></p> <p>CII revision courses provide expert tutor support ahead of the exam and are designed to improve your chances of passing.</p> <p>Courses enable you to:</p> <ul style="list-style-type: none"> <li>Explore the syllabus in detail</li> <li>Clarify areas of concern in the syllabus</li> <li>Discover what the examiner is looking for</li> <li>Discuss common mistakes and how to avoid them</li> <li>Learn useful revision and exam techniques.</li> </ul>	CF1, CF6	£230	£270
	R01–R06, R08, J02, J03, J05, J07, J10–J12	£265	£310
<p><b>Two day revision workshops</b></p> <p>Two day workshops provide all the benefits of the one day course but offer increased opportunity to interact with the tutor and fellow students, plus allotted time to practise exam technique and to gain feedback on your answers.</p>	R01–R04, R08, J02, J03, J05, J07	£420	£505
	AF1–AF6	£450	£550

#### When?

Revision courses for written exams are usually scheduled 3–4 weeks before the April and October exam sessions (incl. January and July for R06). Courses for online-tested exams are offered throughout the year according to demand.

#### Where?

Courses are held throughout the UK, and whilst locations vary according to demand, venues include: London, Birmingham, Bristol, Doncaster and Glasgow.

#### Making your choice

The latest course dates and locations can be viewed online at [www.cii.co.uk/examsuccess](http://www.cii.co.uk/examsuccess)

Alternatively you can contact Customer Service on +44 (0)20 8989 8464 to find out what's available where.

#### Order securely online

Orders can be placed online by visiting [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) and selecting your qualification then unit.

Those who attended a CII revision course in 2016 improved their chances of exam success by up to 48%.

Source: CII Statistics 2016

This section contains fee information for all exams and important dates and deadlines for written exams. Detailed information on multiple-choice tested exams can be found online.

## Written exam deadlines

The information below applies to written exam units R06, J02, J03, J05, J07, J11 and AF1–AF6.

		January 2017	April 2017	July 2017	October 2017
<b>Exam entry</b> The following entry deadlines apply (after which changes to entries won't be accepted)	• At normal fee	R06 only <b>16 Dec 16</b>	All units <b>22 Feb 17</b>	R06 only <b>02 Jun 17</b>	All units <b>30 Aug 17</b>
	• At late fee	R06 only <b>03 Jan 17</b>	All units <b>17 Mar 17</b>	R06 only <b>16 Jun 17</b>	All units <b>22 Sep 17</b>

Once entered for an exam:

- an **exam entry confirmation** will be sent within seven working days from receipt of your application
- an **exam admission permit** will be sent ten working days before the exam begins or six weeks for non-UK applicants.

Exam sittings	Exams are scheduled on the following dates	16 Jan 17	03–05 Apr 17	03 Jul 17	09–11 Oct 17

<b>Exam results</b> Results are released online at <a href="http://www.cii.co.uk/results">www.cii.co.uk/results</a> (you will need to log in using your CII PIN and password) and sent by 1st class post on the following dates	• UK exam centre	R06 only <b>24 Feb 17</b>	R06 only <b>12 May 17</b> All units excl. R06 <b>02 Jun 17</b>	R06 only <b>11 Aug 17</b>	R06 only <b>17 Nov 17</b> All units excl. R06 <b>08 Dec 17</b>
	• Non-UK exam centre	n/a	R06 only <b>12 May 17</b> All units excl. R06 <b>09 Jun 17</b>	n/a	R06 only <b>17 Nov 17</b> All units excl. R06 <b>15 Dec 17</b>

### Important information for written exam entrants

- Please contact Customer Service if you do not receive your exam entry confirmation or exam admission permit, either by emailing [admissionperitenquiries@cii.co.uk](mailto:admissionperitenquiries@cii.co.uk) or calling +44 (0)20 8989 8464.
- When you receive your exam admission permit you must read it in full and check whether any change has been made to 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.
- By taking a CII exam you are agreeing to the regulations stated on the exam admission permit as well as those detailed at [www.cii.co.uk/exampolicies](http://www.cii.co.uk/exampolicies)

### Order securely online

Orders can be placed online by visiting [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) and selecting your qualification then unit.

## Written exam timetable

The following dates apply to exam units R06, J02, J03, J05, J07, J11 and AF1–AF5, AF7 in 2017. The CII reserve the right to make changes to the published dates where necessary.

Exam unit	Date	Time
<b>Diploma</b>		
(R06) Financial planning practice	16 Jan 03 Apr 03 Jul 09 Oct	09:30
(J02) Trusts	03 Apr 09 Oct	14:00
(J03) The tax and legal aspects of business	05 Apr 11 Oct	14:00
(J05) Pension income options	03 Apr 09 Oct	14:00
(J07) Supervision in a regulated environment	04 Apr 10 Oct	14:00
(J11) Wrap and platform services	05 Apr 11 Oct	14:00
<b>Advanced Diploma</b>		
(AF1) Personal tax and trust planning	03 Apr 09 Oct	09:30
(AF2) Business planning	03 Apr 09 Oct	09:30
(AF3) Pension planning	04 Apr 10 Oct	09:30
(AF4) Investment planning	05 Apr 11 Oct	09:30
(AF5) Financial planning process	05 Apr 11 Oct	09:30
(AF7) Pension transfers	10 Oct	14:00

## Online exams

Exam dates for online-tested units are released online up to four months in advance. These are scheduled year-round at over 40 centres across the UK.

Visit [www.cii.co.uk/online](http://www.cii.co.uk/online) for more information.

## Exam expiry for packages

Where an exam entry is bought as part of a package, we recommend you sit the exam during your study option's testing/enrolment period (see [page 15](#) for details). However, **exams can be sat up to 18 months from the point of purchase** and a study option renewal service is available if needed.

## Exam entry fees

The following fees are for exams sat in 2017.

Units	Member	Non-member
CF1, CF6, CF8, ER1, GR1, FA1, FA2, FA4–FA6, LP1–LP3*, R05	£90	£110
LF1*	£43	£49
R01–R04, R06, R07, R08*, J02, J03, J05, J07, J10–J12	£97	£138
AF1–AF6, AF7	£127	£174

\* For units LF1, LP1–LP3, RB1 and R08, first exam entry is included in the study text enrolment fee.

### Late entry fee

For written exam entries (R06, J02, J03, J05, J07, J11 and AF1–AF6) 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 £84 per unit. This is subject to space being available at the exam centre.

## Change of session, unit or centre

### Change after entry:

£45

### Certificate-level units, R0 units, J10 and J12

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.

### Units R06, J02, J03, J05, J07, J11, AF1–AF5 and AF7

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 deadlines specified on this page. After the relevant deadline has passed should you wish to withdraw, you will not receive a refund except in the case of illness.

## Post-results review of marking

A post-results review of marking service is available to those who are unsuccessful in a written exam. Further details including fees payable can be found at [www.cii.co.uk/exampolicies](http://www.cii.co.uk/exampolicies)

## Personal Finance Society (PFS)/CII membership

If you are not already a PFS or CII member, you can become a member when you enrol for your chosen qualification. If you wish to apply for membership and it is not clear from your application form that you work in the financial planning sector, please provide brief details of the nature of your work and the proportion of your time spent on financial planning matters on a separate sheet of paper.

For membership fees see **page 2** of the application form at the back of this brochure.

## Personal Finance Society (PFS) regions and local institutes

If you apply for PFS 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; Birmingham; Blackburn & Burnley; Bolton; Bournemouth; Bradford; Bristol; Cambridge; Cardiff; Carlisle; Chelmsford & S Essex; Cheltenham & Gloucester; Chester & North Wales; Coventry; Edinburgh; Exeter; Folkestone, Canterbury & E Kent; Glasgow; Guernsey; Guildford; Halifax; 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; Northern Ireland; North Downs; Norwich; Nottingham; Perth & Dundee; Peterborough; Plymouth & Cornwall; Preston & Blackpool; Reading; Royal Tunbridge Wells; Sheffield; Shropshire & Mid Wales; Southampton; Stoke-on-Trent; Stratford-upon-Avon; Sussex; Swansea & West Wales; 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

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.

**Important notes in respect of unit R06: only those centres marked with an asterisk and shown in bold are also available in January and July.**

Centre	Code	Centre	Code
Aberdeen	010	Leicester	046
Belfast	015	Lincoln	047
<b>Birmingham*</b>	<b>005</b>	Liverpool	002
Bolton	080	<b>London*</b>	<b>001</b>
Bournemouth	018	<b>Manchester*</b>	<b>003</b>
<b>Bristol*</b>	<b>021</b>	Middlesbrough	051
Cambridge	022	Mid-Kent	050
Cardiff	024	Newcastle-upon-Tyne	008
Carlisle	025	Northampton	052
Chelmsford	026	Norwich	007
Chester	028	Nottingham	053
Croydon	030	Perth	055
Douglas, IoM	091	Peterborough	056
<b>Edinburgh*</b>	<b>009</b>	Plymouth	057
Exeter	035	Preston	059
Folkestone	087	Reading	060
Glasgow	004	Sheffield	062
Gloucester	036	Shrewsbury	063
Guernsey	090	Southampton	064
Guildford	038	Stoke-on-Trent	065
Horsham	082	Stratford-upon-Avon	066
Hull	041	Swansea	067
Inverness	043	Tunbridge Wells	071
Ipswich	044	Watford	072
Jersey	081	York	075
Leeds	006		

**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.

## Non-UK exam centres

The CII operates almost 120 exam centres outside the UK across Europe, North America, South America, Africa, Asia and Australasia. Please contact Customer Service for further details.

## Access arrangements

Provisions can be made for candidates taking CII exams who have different educational requirements or disabilities. To find out more, including how to request reasonable adjustments and access arrangements visit [www.cii.co.uk/exampolicies](http://www.cii.co.uk/exampolicies)

## How to order

Orders can be placed securely online, using a credit or debit card, by visiting [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) and selecting your qualification then unit.

Alternatively, call Customer Service to pay using credit or debit card, or complete the Bacs or cheque payment application form at the back of this brochure, which can be posted, or, in the case of Bacs, faxed or emailed to Customer Service.

Customer Service is unable to accept cash, either in person or by post.

**Note:** To comply with the latest Payment Card Industry Data Security Standards (PCI DSS), The CII no longer accepts credit and debit card for paper applications.

## Delivery

Once we have received your order you should allow 5 days for delivery of printed material within the UK and 21 days outside the UK.

Study options delivered to a UK address will need to be signed for and include email/SMS delivery notifications and online tracking. To be kept updated on the progress of your delivery please ensure you have provided us with a valid email address and mobile number.

For material delivered electronically, such as ebooks, we aim for same day delivery for orders before midday Monday to Friday, (customers receive an email to confirm their purchase is ready to access.)

## Your right to cancel

In accordance with The Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013 you have a right of cancellation in respect of the Products and Services sold by the CII, which right shall (subject to the Regulations) expire 14 calendar days from the day on which either the Products are received by you, or a person nominated to receive the Products on your behalf, or your order for Services is accepted by the CII.

**Note:** No right of cancellation or refund is available in respect of ebooks or any other electronic download of the Products and Services once the download has started. You acknowledge that, by commencing the download of the Products or Services, your right to cancel under 29(1) of the Regulations will be lost. 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 14 days of receiving the notice of cancellation or if Products are to be returned to us, within 14 days of their receipt or proof of sending.

Any request for entry to an exam received less than 14 days before the exam date shall be treated as express consent for the CII to provide a service. This express consent will also be treated as formal acknowledgement by you that your rights to cancellation under Regulation 29(1) of the Regulations will be lost upon receipt of your application form by the CII. In the event of less than 14 days notice of cancellation being given in respect of an entry for an exam sat online, 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.

## Copyright

All CII study materials are copyrighted. By placing an order 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.

## Exam entry refunds

Should you wish to cancel your exam entry you will need to contact Customer Service. The refunding of any entry fees will be subject to the charges laid out in the table below. Please note this does not affect your statutory rights.

<b>Certificate-level units, R01–R05, R07, R08, J10 and J12</b>	Cancellation of an exam entry at least 21 days before the date of the exam for which you have entered:	<b>50% of exam entry fee</b>
<b>Units R06, J02, J03, J05, J07, J11 and AF1–AF6</b>	Cancellation of an exam entry before the final closing date at normal fee:	
<b>All units</b>	Absence from exam with medical evidence (to be received within two months of the date of the exam):	<b>50% of exam entry fee or free entry to the next session</b>

## Additional terms and conditions

Please note there are additional terms and conditions which apply to all purchases of goods or services from the CII/PFS which you agree to be bound by upon completion of your order.

By taking a CII exam you are agreeing to the regulations stated on the exam admission permit or online admission document as well as those detailed at [www.cii.co.uk/exampolicies](http://www.cii.co.uk/exampolicies). The exam permit or online admission document will be sent to your correspondence address prior to the exam date (see **page 18** for more information on the exam admission permit).

Full details can be found at [www.cii.co.uk/exampolicies](http://www.cii.co.uk/exampolicies) and [www.cii.co.uk/tandc](http://www.cii.co.uk/tandc)

## Equal opportunities

The CII is committed to creating and maintaining conditions which give access to its education and assessment provision regardless of age, disability, marriage/civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation, or transgender status.

## Appeals procedure

The CII is committed to open and fair processes and therefore runs a transparent appeals process. For more information visit [www.cii.co.uk/appeals](http://www.cii.co.uk/appeals)



## Order securely online

Orders can be placed securely online, using a credit or debit card, by visiting [www.cii.co.uk/qualifications](http://www.cii.co.uk/qualifications) and selecting your qualification then unit.

Alternatively, call Customer Service to pay using credit or debit card, or complete this Bacs or cheque payment application form, which can be posted, or, in the case of Bacs, faxed or emailed to Customer Service.

# Bacs and cheque payment application form

ICF014 (10/16)

**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? (Please tick)  Yes  No

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

PIN

Mr/Mrs/Miss/ Ms/Other  Surname/ Family name   
Forename/ Given name(s)

Gender (Please tick)  Male  Female Date of birth

Employer's name

Tel  Ext  Mobile

Work address

Postcode  Country

Home address

Postcode  Country

email

Please take care when providing your email address as most correspondence will be sent electronically. Email address must be included when ordering ebooks Learn, audio revision and question packs.

Tick address to be used for postal correspondence (Please tick)  Home  Work

Please tick one box per category

### Type of organisation

(Financial services)

- |  |   |   |  |  |
|--|---|---|--|--|
| <input type="checkbox"/> Directly authorised advice firm | <input type="checkbox"/> Appointed representative – Network | <input type="checkbox"/> Appointed representative – Other | <input type="checkbox"/> Product provider/ Fund manager/Service provider | <input type="checkbox"/> Bank/Building Society |
| <input type="checkbox"/> Mortgage broker                 | <input type="checkbox"/> Accountant                         | <input type="checkbox"/> Other                            |  |  |

### (Mortgages)

- |  |   |  |  |  |
|--|---|--|--|--|
| <input type="checkbox"/> Mortgage intermediary | <input type="checkbox"/> Network          | <input type="checkbox"/> Packager              | <input type="checkbox"/> Independent adviser | <input type="checkbox"/> Estate agent                        |
| <input type="checkbox"/> Accountant            | <input type="checkbox"/> Insurance broker | <input type="checkbox"/> Bank/Building Society | <input type="checkbox"/> Specialist lender   | <input type="checkbox"/> Insurance company/ Product provider |
| <input type="checkbox"/> Other                 |   |  |  |  |

### Area of work

- |  |                                       |   |  |                                      |
|--|---------------------------------------|---|--|--------------------------------------|
| <input type="checkbox"/> Advising clients      | <input type="checkbox"/> Paraplanning | <input type="checkbox"/> Actuarial            | <input type="checkbox"/> Administration/Processing | <input type="checkbox"/> HR/Training |
| <input type="checkbox"/> Compliance/Regulation | <input type="checkbox"/> Finance      | <input type="checkbox"/> Business Development | <input type="checkbox"/> Technical                 | <input type="checkbox"/> Marketing   |
| <input type="checkbox"/> Other                 |                                       |   |  |                                      |

### Job category

- |   |  |   |   |   |
|---|--|---|---|---|
| <input type="checkbox"/> Trainee                      | <input type="checkbox"/> Technician/Co-ordinator | <input type="checkbox"/> Supervisory/Controller | <input type="checkbox"/> Middle management (Branch, Office, Dept) | <input type="checkbox"/> Senior management (General, Head of) |
| <input type="checkbox"/> Board member (CEO, Director) | <input type="checkbox"/> Business owner          | <input type="checkbox"/> Other                  |   |   |

### Area(s) of specialism

- |  |  |  |  |  |
|--|--|--|--|--|
| <input type="checkbox"/> Tax planning        | <input type="checkbox"/> Personal protection | <input type="checkbox"/> Pensions          | <input type="checkbox"/> Savings and investments | <input type="checkbox"/> Estate planning                     |
| <input type="checkbox"/> Retirement planning | <input type="checkbox"/> Equity release      | <input type="checkbox"/> Long term care    | <input type="checkbox"/> Stockbroking            | <input type="checkbox"/> Discretionary investment management |
| <input type="checkbox"/> Mortgages           | <input type="checkbox"/> Life planning       | <input type="checkbox"/> Employee benefits | <input type="checkbox"/> Offshore investments    | <input type="checkbox"/> Ethical investments                 |
| <input type="checkbox"/> General insurance   | <input type="checkbox"/> Other               |  |  |  |

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

If yes, please specify

## Bacs and cheque payment application form – ICF014 (10/16)

Enter your name

### Study path

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

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Award in Life and Pensions Foundations | <input type="checkbox"/> Award in Long Term Care Insurance            | <input type="checkbox"/> Award in Financial Administration                      |
| <input type="checkbox"/> Certificate in Investment Operations   | <input type="checkbox"/> Certificate in Financial Services            | <input type="checkbox"/> Certificate in Regulated Financial Services Operations |
| <input type="checkbox"/> Certificate in Mortgage Advice         | <input type="checkbox"/> Certificate in Equity Release                | <input type="checkbox"/> Certificate in Advanced Mortgage Advice                |
| <input type="checkbox"/> Certificate in Paraplanning            | <input type="checkbox"/> Certificate in Securities Advice and Dealing | <input type="checkbox"/> Certificate in Discretionary Investment Management     |
| <input type="checkbox"/> Diploma in Financial Planning          | <input type="checkbox"/> Diploma in Regulated Financial Planning      | <input type="checkbox"/> Advanced Diploma in Financial Planning                 |

## Section B – Personal Finance Society (PFS) and CII membership

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

### Personal Finance Society membership

Choose PFS membership if you're studying towards investment operations, financial planning, securities, discretionary investment management or paraplanning qualifications.

I wish to become a student (CII unqualified) member of the PFS  Yes  No

I wish to become a qualified member of the PFS at either Certificate or Diploma-level  Yes  No

**Certificate-level** – I hold the CII's Certificate in Financial Planning/Financial Planning Certificate/Certificate in Discretionary Investment Management/Certificate in Paraplanning/Certificate in Securities Advice and Dealing.

**Diploma-level** – I hold the CII's Diploma in Financial Planning/AFPC/Diploma in Regulated Financial Planning.

The CII recognise equivalent non-CII qualifications – applicants must apply for recognition of prior learning. For more information visit [www.cii.co.uk/prior-learning](http://www.cii.co.uk/prior-learning) where you'll find full guidance on the rules, requirements, fees and an application form.

### CII membership

Choose CII membership if you're studying towards financial administration, life and pensions, mortgage advice, equity release or financial services qualifications.

I wish to become an ordinary (CII unqualified) member of the CII  Yes  No

I would like to join the **Society of Mortgage Professionals** at 'Member level' for free.  or I would like to join the Life and Pensions Faculty for free.

### To be completed by all membership applicants

The local institute I wish to join – UK only (See pg 20)

In applying to become a member of the Personal Finance Society (PFS), I agree to be immediately bound by the PFS Articles of Association and Bye-laws. PFS members automatically become members of the Chartered Insurance Institute (CII). I therefore also agree to be immediately bound by the CII's Charter, Code of Ethics, rules, regulations and requirements of membership. I also agree to be bound by the constitution and bye-laws of any local institute of which I become a member. Full details of these obligations of membership can be found online at [www.thepfs.org/memberobligations](http://www.thepfs.org/memberobligations)

Please tick the relevant box to confirm whether you have:

– Been made bankrupt or been subject to an individual voluntary arrangement (or similar procedure) or any judgement debt.  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.

### Membership fees

1. An admission fee of £37 is payable by applicants (this is waived for student membership of the PFS and members joining when purchasing blended learning).

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

Membership level	London only*		UK and Channel isles	
	Annual subscription	Monthly direct debit	Annual subscription	Monthly direct debit
PFS student/CII ordinary	£77	£6.49	£74	£6.24
PFS qualified (CertPFS and DipPFS)	£190	£15.87	£187	£15.62
PFS qualified (APFS and Fellowship)	£201	£16.75	£198	£16.50
Chartered	£250	£20.87	£247	£20.62

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

**Sub total** £

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

- by monthly Direct Debit. The admission fee of £37 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;**
- by Bacs or cheque. **If you choose this option please enter the correct amount in the sub total box.**

(to include the £37 admission fee for membership applicants.  
Note: This is waived for student membership of the PFS and those also purchasing blended learning).







Enter your name

## Section E – Declarations

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

### Data protection and privacy

The CII/PFS will ensure that your personal data is processed in line with Data Protection legislation and the CII Data Protection and Privacy Statement (available on the CII's website). To process this application, I am deemed to have consented to the CII/PFS processing my data.

### Sharing information with your employer

The CII will, upon request from your employer, provide it with details of your assessment record and accreditation including all attempts and future entries, along with your CII permanent identity number. If you **DO NOT** wish for us to provide these details to your employer, please tick the following box

### Privacy and electronic communications regulations

The CII 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. If you **DO NOT** consent to the CII using your data in this way, please tick the following box

### Sharing your data with local institutes

The CII, will share your data with your Local Institute (UK, Channel Islands and Isle of Man based members only) so they may communicate to you, electronically, any local events, products and services that complement those offered by the CII. If you **DO NOT** consent to the CII using your data in this way, please tick the following box

To opt out of postal marketing communications from the CII and your local institute please send a request to Customer Service at [customer.serv@cii.co.uk](mailto:customer.serv@cii.co.uk)

### 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.

### Terms, conditions and cancellation

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

Signature

Date

**If ordering learning materials, please ensure you have read the important information regarding delivery on page 20.**

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

See overleaf for total payable and method of payment.

## Bacs and cheque payment application form – ICF014 (10/16)

Enter your name

### Section F – Total payable and method of payment (Bacs and cheque only)

To comply with the latest Payment Card Industry Data Security Standards (PCI DSS), the CII no longer accepts credit and debit card as a payment method for paper applications. To pay by credit or debit card, you can order online using our secure payment gateway, which is Level 1 compliant under the PCI DSS. Alternately, call Customer Service.



Insert the total value of all items ordered in Sections B to D.

**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.

Total payable £

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 Bacs details.

Cheque/bankers draft drawn on a UK bank account and payable to The Chartered Insurance Institute (please write CII PIN number if known on the reverse).

Bank transfer via Bacs (using the CII account details below and including the required information).

CII account details:

HSBC Bank plc, City of London Branch, 60 Queen Victoria Street, London, EC4N 4TR

Account number: 22271044

Sort code: 40-05-30

Swift code: MIDLGB22

IBAN: GB21MIDL40053022271044

Please include the following information so that we can identify your payment:

Date of submission  Amount in sterling transferred £

Transaction reference number (if applicable)  PIN

**Important note:** Transfers can take up to two weeks to process, therefore please ensure that you submit this in sufficient time to meet any relevant closing dates. You must include any bank charges in the transfer.

#### How to place your order

**Paying by Bacs** – once your payment has been made please email all pages of this completed application form, together with your remittance advice, to [accounts.receivable@cii.co.uk](mailto:accounts.receivable@cii.co.uk) or fax it to +44 (0)20 8530 3052.

**Paying by cheque/bankers draft** – post this completed application form, along with your cheque/bankers draft 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.**

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)



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.

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  I wish to pay my subscription by **annual** Direct Debit payment

Signature

Date

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

#### The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit the Chartered Insurance Institute will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request the Chartered Insurance Institute to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by the Chartered Insurance Institute or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when the Chartered Insurance Institute asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

“ At M&G Investments we strongly advocate and support the highest levels of adviser education. Chartered Financial Planner status, for example, underpinned by the CII Advanced Diploma in Financial Planning, can help advisers in delivering the best possible customer outcomes through a broader and deeper knowledge of financial management. ”

**Julian Hince**  
M&G Technical Development Director  
DipPFS CertPFS (DM)



You can view and enlarge a copy of this brochure online at:

[www.cii.co.uk/fs-brochure](http://www.cii.co.uk/fs-brochure)

Alternatively contact Customer Service if you are having any difficulty reading this brochure.

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

[customer.serv@cii.co.uk](mailto:customer.serv@cii.co.uk)

[www.cii.co.uk](http://www.cii.co.uk)

 Chartered Insurance Institute

 @CIIGroup

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marks and THE CHARTERED INSURANCE  
INSTITUTE, CII and the CII logo are registered  
trade marks of The Chartered Insurance Institute.