

Qualifications of the Applicant for Approval as ASEAN Investment Analyst

No.	Work Experiences / Relevant Knowledge Qualifications	Related Work Experiences	Required Examinations	
			Securities Investment Analysis	Related Rules on Investment Analysis
1	Person approved or registered to perform duties in the same manner as ASEAN investment analyst by a regulator in an ASEAN country which is accepted by the SEC Office. ¹	-	-	-

¹ an ASEAN country which is accepted by the SEC Office means a signatory to the Memorandum of Understanding on the ACMF Pass Under ASEAN Capital Market Professional Mobility Framework.

Qualifications of the Applicant for Approval as ASEAN Investment Consultant

No.	Relevant Knowledge Qualifications	Required Examinations		
		(1) Fundamental Knowledge	(2) Related Rules and Appropriate Investment Advisory	(3) Knowledge on <u>Non-complex Capital Market Products</u>
1	Person approved or registered to perform duties in the same manner as ASEAN investment consultant by a regulator in an ASEAN country which is accepted by the SEC Office ¹ .	-	-	-

¹ an ASEAN country which is accepted by the SEC Office means a signatory to the Memorandum of Understanding on the ACMF Pass Under ASEAN Capital Market Professional Mobility Framework.