

	FUNCTION	QUALIFICATION EXAMINATIONS
1.	<u>CEO</u> , Managing Director or General Manager	Securities exam Business conduct exam
2.	Senior Executive Officer: including heads of main departments or divisions	Securities exam Business conduct exam Derivatives exam
3.	Director	Securities exam Business conduct exam
4.	Finance Officer	Securities exam Business conduct exam
5.	Compliance Officer	Business conduct exam Securities exam Derivatives exam
6.	Anti-Money Laundering Reporting Officer	Business conduct exam Securities exam
7.	Risk Management Officer	Securities exam Derivatives exam Business conduct exam
8.	Internal Audit Officer	Securities exam Derivatives exam Business conduct exam
9.	Senior Manager: including heads of business lines or product areas	Securities exam Derivatives exam Business conduct exam

10.	<p>Client representative (in charge of the client's account):</p> <ul style="list-style-type: none"> • Account representative • Sales representative or broker • Investment manager • Investment funds manager • Portfolio manager – discretionary • Portfolio manager – non-discretionary • Investment advisor • Asset manager • Investment banking or corporate finance manager / officer • Research analyst or manager • Securities product analyst or manager 	<p>Securities exam Derivatives exam Business conduct exam</p>
11.	Trader	<p>Securities exam Derivatives exam Business conduct exam</p>

The person charged with registrable functions shall be granted a maximum period of two years from the date he began to perform such functions in order to obtain the approval of the Authority on the registration, after fulfilling the required qualifications and conditions.

During this period, this person shall be considered a “Person under supervision” as per the following definition:

Person under supervision: Any person who performs registrable functions under the supervision of a registered person and in the process of obtaining the approval of the Authority as a registered person.

The Approved Institutions shall inform the Authority when a “Person under supervision” is appointed and shall indicate the name of the supervising person registered at the Authority.

In the event the above-mentioned two-year period expires without registration, the Authority may take a decision to suspend the “Person under supervision” from performing his functions until he fulfills the registration requirements.