

UAE Securities and Commodities Authority Qualifications-Led Licensing Regime

Job function	Exam requirement for SCA licence		Continuous Professional Development	
Broker Representative	UAE Financial Rules & Regulations	Fundamentals of Financial Services		
Chief Compliance Officer	UAE Financial Rules & Regulations	Combating Financial Crime	Introduction to Securities & Investment (International)	Global Financial Compliance
Chief Risk Management Officer	UAE Financial Rules & Regulations	Risk in Financial Services	Introduction to Securities & Investment (International)	Operational Risk
Chief Technology Officer (CTO)	UAE Financial Rules & Regulations	IT in Investment Operations	Introduction to Securities & Investment (International)	
Credit Rating Analyst / Head of Credit Rating Analyst	UAE Financial Rules & Regulations	Risk in Financial Services	Corporate Finance Technical Foundations	
Director/Head of Category	UAE Financial Rules & Regulations			
Financial Advisor(IPO)	UAE Financial Rules & Regulations	Corporate Finance Technical Foundation	Risk in Financial Services	
Financial Analyst / Chief Financial Analysis (Capital Markets)	UAE Financial Rules & Regulations	International Certificate in Wealth and Investment Management (Level 3)	Risk in Financial Services	Derivatives
Fund Investment Manager / Portfolio Manager	UAE Financial Rules & Regulations	International Certificate in Wealth and Investment Management (Level 3)	Risk in Financial Services	Wealth Management Practice
Head of Compliance	UAE Financial Rules & Regulations	Combating Financial Crime	Global Financial Compliance	
Head of Risk Management	UAE Financial Rules & Regulations	Risk in Financial Services	Combating Financial Crime	Derivatives
Internal Auditor	UAE Financial Rules & Regulations	Operational Risk	Introduction to Securities & Investment (International)	
Investment Operations Manager	UAE Financial Rules & Regulations	Global Securities Operations	Introduction to Securities & Investment (International)	Risk in Financial Services
Operations Manager	UAE Financial Rules & Regulations	Global Securities Operations	Introduction to Securities & Investment (International)	Operational Risk
Promotion Manager	UAE Financial Rules & Regulations	International Certificate in Wealth and Investment Management (Level 3)	Introduction to Securities & Investment (International)	Risk in Financial Services
Trading Manager	UAE Financial Rules & Regulations	Fundamentals of Financial Services	Derivatives	