

## Appropriate qualifications activities

Activity No.	Activity in TC Appendix 1R
<i>RDR Scope Retail Activities</i>	
2	Advising on (but not dealing in) <i>securities</i> (which are not <i>stakeholder pension schemes</i> or <i>broker funds</i> )
3	Advising on (but not dealing in) <i>derivatives</i>
4	Advising on <i>Packaged Products</i> (which are not <i>broker funds</i> )
6	Advising on Friendly Society tax-exempt policies
12	Advising on, and dealing in <i>securities</i> (which are not <i>stakeholder pension schemes</i> or <i>broker funds</i> )
13	Advising on and dealing with or for clients in <i>derivatives</i>
<i>Other Activities</i>	
7	Advising on Long-term care insurance contracts
8	Advising on syndicate participation at Lloyd's
9	Advising on investments in the course of corporate finance business
10	Acting as a <i>Broker fund adviser</i>
11	Acting as a Pension transfer specialist
14	Managing <i>investments</i>
15	Overseeing on a day to day basis operating a <i>collective investment scheme</i> or undertaking activities of a <i>trustee</i> or <i>depositary</i> of a <i>collective investment scheme</i>
16	Overseeing on a day to day basis safeguarding and administering <i>investments</i> or holding <i>client money</i>
17	Overseeing on a day to day basis administrative functions in relation to managing investments - (i) arranging settlement; - (ii) monitoring and processing corporate actions; - (iii) client account administration, liaison and reporting including valuation and performance measurement; - (iv) ISA, PEP or CTF administration; - (v) Investment trust savings scheme administration.
18	Carrying out on a day to day basis administrative functions in relation to effecting or carrying out contracts of insurance which are life policies: - (i) new business administration; - (ii) policy alterations including surrenders and policy loans; - (iii) preparing projections; - (iv) processing claims, including pension payments; - (v) fund switching
19	Overseeing on a day to day basis administrative functions in relation to the operation of stakeholder pension schemes: - (i) new business administration; - (ii) receipt of or alteration to contributions; - (iii) preparing projections and annual statements; - (iv) administration of transfers; - (v) handling claims, including pension payments; - (vi) fund allocation and switching.
20	Advising a customer on a <i>regulated mortgage contract</i> (for a non-business purpose)
21	Advising a customer on <i>Equity release transactions</i>
22	Designing scripted questions for use in sales to customers of <i>regulated lifetime mortgage contracts</i> which do not involve <i>personal recommendations</i>
23	Overseeing non-advised sales on a day-to-day basis on <i>Equity release transactions</i>