



# **OCCUPATIONAL CERTIFICATE: FINANCIAL MARKETS PRACTITIONER**

SAQA Qualification ID 93603  
NQF LEVEL 7

**EXTERNAL INTEGRATED SUMMATIVE ASSESSMENT (EISA)**

**RECOGNITION OF PRIOR LEARNING (RPL)**

## INTRODUCTION:

All Recognition of Prior Learning (RPL) candidates will be reviewed against RPL criteria as stipulated by SAIS.

All candidates who wish to enter the EISA via the RPL route are required to complete the EISA registration application and submit it together with the required documentation, registration fee and proof of payment.

Candidates may be required to be interviewed by a RPL committee prior to access to the EISA.

Candidates who are successful in their RPL applications will be notified by SAIS and will receive an EISA confirmation letter.

1	Requirement	Evidence to be submitted
	Successful completion of all the modules of the Advanced Diploma in Financial Markets offered by the University of Johannesburg	Statement of results showing pass marks in all modules.
	<b>AND</b>	
	A minimum of 6 months' workplace experience at a SAIS approved workplace	Workplace report outlining work experience with examples of work. Report signed-off by organisation supervisor or authorised practitioner/mentor.
	<b>OR</b>	
	Minimum of 1 year relevant work experience at a financial institution that is either an authorised user of an exchange or a registered Financial Services Provider (FSP).	CV and report showing the alignment of work experience with the curriculum of the qualification. Contactable references at place of work.
2	Requirement	Evidence to be submitted
	Minimum NQF Level 6 qualification in a financial field	Certified copy of certificate/s, diploma/s, degree/s.
	<b>AND</b>	
	Successful completion of the following SAIFM Registered Persons examinations:	Certified copies of the SAIFM certificates.
	The Regulation and Ethics of the South African Financial Markets	
	Introduction to the Financial Markets	
	The Equity Market	
	The Bond Market	
	The Derivatives Market	
	JSE Equity Compliance Officer Exam	
	JSE Derivatives Compliance Officer Exam	
	JSE Equity Settlement Officer Exam	At least one of these exams
	JSE Bonds (IRC) Settlement Officer Exam	

<b>AND</b>		
Minimum of 2 years relevant work experience at a financial institution that is either an authorised user of an exchange or a registered Financial Services Provider (FSP).	CV and report showing the alignment of work experience with the curriculum of the qualification.	
3	Requirement	
	Minimum Grade 12	
	<b>Evidence to be submitted</b>	
	<b>AND</b>	
	Successful completion of the following SAIFM Registered Persons examinations:	Certified copies of the SAIFM certificates.
	• The Regulation and Ethics of the South African Financial Markets	
	• Introduction to the Financial Markets	
	• The Equity Market	
	• The Bond Market	
	• The Derivatives Market	
	• The South African Money Market	
	• The South African Foreign Exchange Market	
	• JSE Registered Securities Trader Exam	At least one of these exams
	• JSE Equity Compliance Officer Exam	
	• JSE Derivatives Compliance Officer Exam	
	• JSE Equity Settlement Officer Exam	
	• JSE Bonds (IRC) Settlement Officer Exam	
	<b>AND</b>	
	Minimum of 4 years' relevant work experience at a financial institution that is either an authorised user of an exchange or a registered Financial Services Provider (FSP).	CV and report showing the alignment of work experience with the curriculum of the qualification.