

Self-check checklist for foreign exam candidates

(Candidates must self-check their current status/qualifications before submitting the exam application form to the Testing Center)

Situation 1	Situation 2	Situation 3
<p>1.1 Those who passed the CFA level 1 or higher</p> <p>1.2 Those who passed the Financial Risk Manager (FRM) exam</p> <p>1.3 Those who passed the CISA level 1 or higher</p> <p>1.4 Those who hold the CFP certification</p>	<p>Those with valid license to practice investment consultancy from other jurisdictions in the country acceptable by the Thai SEC</p>	<p>Those without such licenses/qualifications as stated in Situation 1</p>
<p><input type="checkbox"/> The license/qualifications are still valid</p> <p><input type="checkbox"/> Know which products you can advise using that license</p> <p><input type="checkbox"/> Know the scope of work that you intend to do (i.e. Give investment advice on capital market products or analyze capital market products and write research reports*)</p>	<p><input type="checkbox"/> The license/qualifications are still valid</p> <p><input type="checkbox"/> Know which products you can advise using that license</p> <p><input type="checkbox"/> Know the scope of work that you intend to do (i.e. Give investment advice on capital market products or analyze capital market products and write research reports*)</p> <p><input type="checkbox"/> The Securities and Exchange Commission (SEC) of Thailand has confirmed that the license is acceptable and comparable to the Investment Consultant (IC) license in Thailand (and has specified which license it is comparable to, whether it is P1, P2, or P3) **See additional information below**</p>	<p><input type="checkbox"/> Know the scope of work that you intend to do (i.e. Give investment advice on capital market products or analyze capital market products and write research reports*)</p>

* The IC License is only required for those giving investment advice on capital market products. Those only intending to conduct analysis and write research reports should consider other exams such as CFA or CISA.

Additional information for Situation 2 only

For license check with the SEC, candidates must send the following documents/information to info@sec.or.th and CC Thailand Securities Institute (TSI) at TSI_examination@set.or.th.

- (1) A scanned file of the license/certificate
- (2) The web link of the foreign regulator which issues or regulates that license showing that the candidate appears on the list of approved investment consultants (See this [link](#) as an example).
- (3) The web link of the foreign regulator which issues or regulates that license showing the scope of work in which that license covers

If there are no links in which the SEC can check, the candidate must provide an official letter from the foreign regulator confirming the scope of work in which that license covers and the eligibility of the candidate.