



UAE Securities and Commodities Authority
Qualifications- Led Licensing Regime

Job Function	Exams Required for SCA Licence	
Director/Head of Category	UAE Financial Rules and Regulations	
Chief Compliance Officer	UAE Financial Rules and Regulations	Combating Financial Crime
Chief Risk Management Officer	UAE Financial Rules and Regulations	Risk in Financial Services
Head of Compliance	UAE Financial Rules and Regulations	Combating Financial Crime
Head of Risk Management	UAE Financial Rules and Regulations	Risk in Financial Services
Operation Manager	UAE Financial Rules and Regulations	Global Securities Operation
Investment Operation/ Profit Sharing Manager/ Investment Manager	UAE Financial Rules and Regulations	Global Securities Operation
Trading Manager	UAE Financial Rules and Regulations	Fundamentals Of Financial Services
Broker Representative	UAE Financial Rules and Regulations	Fundamentals Of Financial Services
Financial Analyst for Financial Advisor (Issuance Manager) & Listing Advisor	UAE Financial Rules and Regulations	Corporate Finance Technical Foundation
Financial Analyst/ Chief Financial Analysts/ Financial Manager(Capital Market)	UAE Financial Rules and Regulations	International Certificate in Wealth and Investment Management (Level 3)
Fund Investment Manager/ Portfolio Manager	UAE Financial Rules and Regulations	International Certificate in Wealth and Investment Management (Level 3)
Promotion Manager	UAE Financial Rules and Regulations	International Certificate in Wealth and Investment Management (Level 3)
Chief Technology Officer (CTO)	UAE Financial Rules and Regulations	IT in Investment Operation
Credit Rating Analyst/ Head of Credit Rating Analyst	UAE Financial Rules and Regulations	Risk in Financial Services