



هيئة الأسواق المالية
CAPITAL MARKETS AUTHORITY
LEBANON

Annex 2
CMA Decision 24
REGISTRABLE FUNCTIONS AND PRESCRIBED
QUALIFICATION EXAMINATIONS

	FUNCTION	QUALIFICATION EXAMINATIONS
1.	CEO, Managing Director or General Manager	Securities exam Business conduct exam
2.	Senior Executive Officer: includes heads of main departments or divisions	Securities exam Derivatives exam Business conduct exam
3.	Director	Securities exam Business conduct exam
4.	Finance Officer	Securities exam Business conduct exam
5.	Compliance Officer	Securities exam Global Financial Compliance exam Business conduct exam
6.	Anti-Money Laundering (AML) Officer	Securities exam Global financial compliance exam Business conduct exam
7.	Risk Management Officer	Securities exam Derivatives exam Global financial compliance exam Business conduct exam
8.	Senior Manager: includes heads of business lines Or product areas	Securities exam Derivatives exam Business conduct exam



9.	Client representative: <ul style="list-style-type: none">• Account representative• Sales representative or broker• Investment manager• Investment funds manager• Portfolio manager – discretionary• Portfolio manager – non-Discretionary• Investment advisor• Asset manager• Investment banking or corporate• Finance manager / officer• Research analyst or manager	Securities exam Derivatives exam Business conduct exam
10.	Trader	Securities exam Derivatives exam Business conduct exam