



PATRON HER MAJESTY THE QUEEN

This is to certify that

Thomas Knox

has been awarded the

CII Level 4 Diploma in Regulated Financial Planning

by The Chartered Insurance Institute

Alan Vallance
CHIEF EXECUTIVE OFFICER

Dr Nicola Mellor
RESPONSIBLE OFFICER

Date awarded: 11th August 2023

Authentication: A976-967Q-F35R

Authenticate this certificate at www.ciigroup.org/en/authenticate



Qualifications Wales regulates this qualification where it is awarded to learners assessed wholly or mainly in Wales



Chartered
Insurance
Institute
Standards. Professionalism. Trust.

Accreditation Number(s): 501/0024/5, C00/0232/4
CII identification number: 23/M07/PSX/0106

This Certificate confers no designation and is not confirmation of regulatory status.



EFPA EUROPEAN FINANCIAL ADVISOR™

EFA

This is to inform the public that

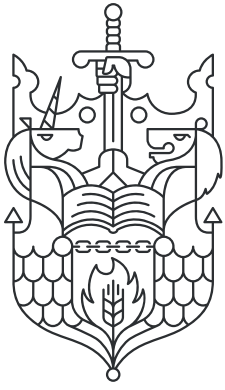
Thomas Knox

has satisfied the education and examination requirements for certification, has agreed to abide by the Code of Ethics and is authorised by *EFPA* to use the *EFA* designation with all rights and privileges pertaining thereto and subject to periodic renewal requirements, including continuing education.

Certification Number: **GB001800775C** • Verified: **29 August 2023**

Brendan O'Ciobhain
EFPA United Kingdom Chairman

Emanuele Carluccio
EFPA Chairman



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

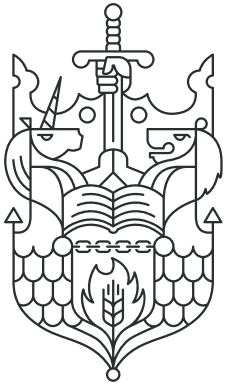
**(R01) Financial services, regulation and
ethics**

National Unit Reference L/505/0662

Unit achieved: May 2023

ALAN VALLANCE
CHIEF EXECUTIVE OFFICER
May 2023

DR NICOLA MELLOR
RESPONSIBLE OFFICER
May 2023



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

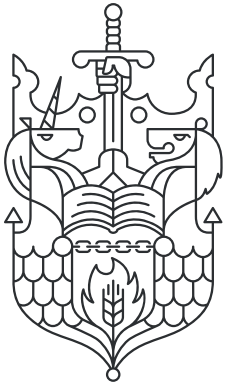
(R02) Investment principles and risk

National Unit Reference T/601/4233

Unit achieved: March 2021

SIAN FISHER
CHIEF EXECUTIVE OFFICER
March 2021

DR NICOLA MELLOR
RESPONSIBLE OFFICER
March 2021



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

(R03) Personal taxation

National Unit Reference A/601/4234

Unit achieved: January 2023

ALAN VALLANCE
CHIEF EXECUTIVE OFFICER
January 2023

DR NICOLA MELLOR
RESPONSIBLE OFFICER
January 2023



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

**(R04) Pensions and retirement
planning**

National Unit Reference M/505/1318

Unit achieved: July 2021

SIAN FISHER
CHIEF EXECUTIVE OFFICER
July 2021

DR NICOLA MELLOR
RESPONSIBLE OFFICER
July 2021



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

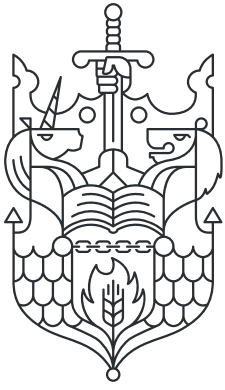
(R05) Financial protection

National Unit Reference R/505/0663

Unit achieved: June 2023

ALAN VALLANCE
CHIEF EXECUTIVE OFFICER
June 2023

DR NICOLA MELLOR
RESPONSIBLE OFFICER
June 2023



Chartered
Insurance
Institute

Standards. Professionalism. Trust.

Patron Her Majesty The Queen

Record of Achievement

Thomas Knox

has passed unit

(R06) Financial planning practice

National Unit Reference T/505/1319

Unit achieved: July 2023

ALAN VALLANCE
CHIEF EXECUTIVE OFFICER
August 2023

DR NICOLA MELLOR
RESPONSIBLE OFFICER
August 2023

Certificate Number: 10601328

This is to certify that

Thomas Knox

784398

has been awarded the
International Introduction to Investment Award

Date awarded
04 December 2020



Susan Clements

Susan Clements MA CEng FICE
Global Director of Learning

Qualification Accreditation Number: 601/4579/1

Certificate Number: 10602328



This is to certify that
Thomas Knox

784398

has been awarded the
CISI Level 3 Certificate in Wealth & Investment Management

Date awarded
04 January 2021

Susan Clements

Susan Clements MA CEng FICE
Global Director of Learning



20 Fenchurch Street, London EC3M 3BY

cisi.org

