



## APPLICATION FOR ASSOCIATE MEMBERSHIP

To be completed by the person applying for membership

|                     |  |
|---------------------|--|
| Mr/Mrs/Ms/other     |  |
| First name(s)       |  |
| Surname             |  |
| Date of birth       |  |
| Home address        |  |
| Email               |  |
| Mobile              |  |
| Employer / Business |  |
| Job Title           |  |

### Personal declaration

*I agree to abide by the terms of conditions of CFA NZ Associate Membership, including:*

- I will submit a CV that demonstrates at least two years of professional experience in the financial service sector and/or related industries such as consulting, academia or government. A LinkedIn profile is sufficient if the details are comprehensive.
- I will successfully complete the initial online ethics training modules within the allocated time of three months (not required if Level one of the CFA Program has been completed successfully).
- After the first anniversary of membership I will complete two hours of ethics focussed CPD each year and record this on the 'application for renewal' form.
- Membership is subject to making a 'Professional Conduct Statement' each year.
- Membership is subject to annual payment of a subscription fee.
- As an Associate Member I will abide by the current [CFA Society New Zealand Incorporated Rules](#)\*.
- The terms and conditions of Radar\*\* (the online platform used for the ethics training).
- I agree to receive emailed correspondence from CFA Society New Zealand.
- I authorise the investigation of all statements made and information provided by me with respect to this application.
- Associate Members of CFA Society New Zealand may not utilize CFA trademarks, nor claim explicitly or implicitly that they are a CFA charterholder

\* These documents can be found online [www.cfasociety.org.nz](http://www.cfasociety.org.nz) , or supplied on request

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Please email this application, including the Professional Conduct Statement (below) and other relevant documentation to [info@cfasociety.org.nz](mailto:info@cfasociety.org.nz) Phone 022-0847-964 for assistance

# CFA SOCIETY NEW ZEALAND MEMBER PROFESSIONAL CONDUCT STATEMENT

Please answer the following questions by marking the appropriate response for each. Any matter described in the questions below must be disclosed, even if the matter is still pending.

|  |  |
|--|--|
| In the last two years, have you been the subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?  | <input type="checkbox"/> No  |
|  | <input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand                  |
|  | <input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand             |
|  | <input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded |
| In the last two years, have you been the subject of, a defendant in, or respondent to any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?  | <input type="checkbox"/> No  |
|  | <input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand                  |
|  | <input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand             |
|  | <input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded |
| In the last two years, have you been temporarily or permanently suspended, barred, banned, or otherwise prevented from: (i) working or participating in the securities industry; (ii) trading on any securities or contract market; (iii) acting as a broker, dealer, investment advisor, or other person required to register under any law or regulation; or (iv) acting as an employee; registered representative; or affiliated person of any entity required to register or be licensed under any law or regulation (ie, investment company, bank, etc.)? | <input type="checkbox"/> No  |
|  | <input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand                  |
|  | <input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand             |
|  | <input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded |
| In the last two years, have you ever been found to have aided, abetted, counselled, commanded, induced, or procured the violation of any securities- or commodities-related law, regulation, or rule?  | <input type="checkbox"/> No  |
|  | <input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand                  |
|  | <input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand             |
|  | <input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded |
| In the last two years, have you been convicted of or pled guilty to: (i) any crime defined as a felony or punishable by more than one year in prison (regardless of the sentence actually imposed), or (ii) any crime involving moral turpitude (fraud, lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?  | <input type="checkbox"/> No  |
|  | <input type="checkbox"/> Yes, matter not previously disclosed to CFA Society of New Zealand                  |
|  | <input type="checkbox"/> Yes, matter currently under investigation by CFA Society of New Zealand             |
|  | <input type="checkbox"/> Yes, matter previously investigated by CFA Society of New Zealand; review concluded |

The above responses and all information provided by me on this Professional Conduct Statement are truthful, accurate, and complete, and I agree to notify CFA Society of New Zealand promptly of any material changes required in my responses to the foregoing questions. I acknowledge and understand that failure to comply with these is grounds for disciplinary action against me and that failure to cooperate with any CFA Society of New Zealand investigation of my conduct is grounds for membership suspension.

By signing this document, I hereby acknowledge that I have read and understand the document in its entirety and agree with all of the above.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Printed name: \_\_\_\_\_