

MCSI Application by Seniority, Experience & Professional Qualifications

All questions to be answered and printed in ink and in block capitals.

- Please refer to Notes for Guidance
- Please remember to enclose all required documents and payment details

2. Personal details

Title _____
 First name(s) _____
 Last name _____
 Home address _____

 _____ Postcode _____
 Tel. (include country and local code) _____
 Mobile _____
 Email _____
 Date of birth DD/MM/YYYY _____
 Former name(s) if any _____

3. Work details

Firm name _____
 Job title _____
 Department _____
 Firm address _____

 _____ Postcode _____
 Tel. (include country and local code) _____
 Email _____

3. Contact information (tick one)

Correspondence to be delivered to:

Work

Home

Who will pay annual subscription?

Firm

Self

If firm, please provide the following information:

Contact name: _____

Dept: _____

Cost centre: _____

Address (if different from above): _____

4. IntegrityMatters

Obtaining a pass in the CISI's IntegrityMatters is now a requirement for CISI membership.

For more information please go to cisi.org/integritymatters

I have passed the IntegrityMatters test

I will pass IntegrityMatters to activate my membership

5. Career Details (Please refer to Notes for Guidance)

Please indicate the number of years industry experience you have (minimum 15 years) _____

Your current employment if applicable (*Please enclose a curriculum vitae)

Job Title _____

Date appointed _____

*Please enclose a role profile/job description and organisation chart and indicate whether you are a Senior Manager as defined by FCA or other regulator.

6. Professional Membership (Please enclose evidence of membership)

Please list membership of any other relevant organisations, including category of membership and year of entry. Examples of relevant organisations are: CFA Institute, The Law Society, Law Society in Scotland, Institute of Chartered Accountants in Scotland, Chartered Management Institute, ICAEW and ACCA.

Organisation _____

Category _____

Year of entry _____

7. Relevant Academic and Professional Qualifications (Please enclose evidence of qualifications)

Qualifications obtained: List relevant financial related academic and/or professional qualifications giving title of qualification, place of study (institution) and year qualification achieved.

Qualification _____

Place of study _____

Year of entry _____

8. Please indicate any duties you have undertaken for the Institute or any relevant appointment you have held, or any further information which you consider relevant.

9. Please provide two sponsors, one of whom should be either an executive director, a non-executive director or partner in the applicant's firm, or any member holding MCS1 or above, or a professionally qualified lawyer or professionally qualified accountant.

(please refer to notes for guidance)

Name	Name
Job title	Job title
Organisation and address	Organisation and address
Length of time known	Length of time known
Signature	Signature

NB. Please enclose brief statements from each sponsor supporting your application.

However, if any of your sponsors is a serving Board or Committee member of CISI, or is currently undertaking an appointed role for the CISI, eg, Chief Examiner, we will contact them on your behalf, if you prefer.

10. Communications Preferences Please tell us what information you would like to be contacted about

Additional Events: Training Courses Conferences Branch Dinners

Other: Research Surveys Jobs Online

Professional Forums and Interest Groups events: Bond and Fixed Interest Compliance Corporate Finance International Regulation
Financial Planning FinTech Operations Risk Wealth Management
Young Professionals Training, Competence and Culture Paraplanner

Study: Qualifications Bulletin New Qualifications and Pathways Revision Tools

Telephone Communications: Membership Qualifications Events

Your Membership: Membership Upgrades CPD, Networking and Social Events Online Learning
Member Survey The Review Digital Articles The Review Print Magazine
Member Updates and News

Membership Directory: Opt in Membership Directory

11. Disciplinary history (tick one)

1. I have been convicted of a criminal offence Yes No
Please note that you do not need to disclose protected convictions that are filtered from a standard and enhanced Disclosure and Barring Service (DBS) check.
2. I have entered an Individual Voluntary Agreement (IVA) or equivalent agreement with my creditors or have been adjudged bankrupt or insolvent or compounded with my creditors. Yes No
3. I have been subject to disciplinary proceedings by the FCA, other regulator or any professional body. Yes No
4. I have been subject to a disciplinary investigation by my firm that has led to disciplinary action being taken against me. Yes No

Please provide details with your application if you have responded Yes to any of the above.

12. Declaration

- On applying to become a member of the Chartered Institute for Securities & Investment I agree to abide by the Royal Charter, Bye-laws, Regulations, and to uphold its high standards as published in its Professional Code (all available from website). Any breach of the Regulations may give rise to disciplinary procedures and termination of my membership
- I am aware that CPD is mandatory for CISI members and agree to undertake CPD on an annual basis meeting the CISI CPD requirements to maintain my membership. I understand non-compliance of the CISI CPD requirements can lead to my membership being suspended.
- If not already achieved, to activate my membership I agree to pass IntegrityMatters. I understand that if not completed within 3 months of joining the CISI my membership will be suspended.
- I know of no reason why I should not become a member
- I confirm that the information supplied in support of my application is correct.

Please tick to confirm you have included evidence for the following documents. Guidance on these documents can be found on page 3 of the application under 'Notes for Guidance'.

- Curriculum vitae
- Evidence of Senior/Middle Management position and job description or profile of the role
- Current organisational chart
- Two statements of support from sponsors
- Evidence or copy of any relevant qualifications (if applicable)
- Evidence of membership of relevant professional bodies/ associations (if applicable)

Signature:

Date DD/MM/YYYY

Name in full:

13. Payment (Please complete both payment sections A and B)

A. I apply to be registered as an MCSI of the Chartered Institute for Securities & Investment and enclose the registration and assessment fee for the amount of £120.00 (non refundable).

B. I also enclose the separate annual subscription fee (which will only be taken upon acceptance for membership). The membership fee is payable on a pro-rata basis at any stage of the year. Please tick the following box if you are joining between

Apr - Jun - £235 Jul - Sep - £176.25 Oct - Dec - £117.50 Jan - Mar - £293.75 (includes fees for the following subscription year)

I have read and agree to comply with the Code of Conduct Receipt required

Tick here if this applies to you Promotional Code:

Payment by firm:

I authorise payment to be invoiced to our general account:

Firm reference:

Print name:

Signed: HR department

Payment by cheque:

Cheques should be made payable to:

'Chartered Institute for Securities & Investment' and crossed 'Account Payee only'. Cheque attached

Payment by Card: I wish to pay by card:

Please contact me or other

by telephone/email* to make payment on my behalf.

Telephone number:

Email address:

*If you have selected via email you will receive a payment link from customersupport@cisi.org to complete

Name:

Signature:

Notes for Guidance

- All applications will be based on a points system, which can be found overleaf. Please use this grid as guidance when applying, as the application fee is non-refundable.
- As the scheme is aimed at senior professionals, the process has been designed to be rigorous but as streamlined as possible, making use of existing documentation already possessed by applicants.
- Senior/Middle Management Role:** In establishing your seniority the CISI will be guided by the UK FCA controlled functions (if applicable), your CV and the organisation chart submitted.
- Experience required:** Applicants will normally require a minimum of fifteen years experience in the industry, there are further points awarded for those with twenty plus years experience.
- Relevance of Experience:** Your peers on the Membership Committee will be able to decide this, bearing in mind the full range of investment and securities related work, undertaken across the sector.
- Qualifications:** A list of relevant professional qualifications can be found on the CISI website. Copy of the certificate or other evidence will need to be attached with the application.
- CISI supporter:** The involvement with the Institute past or present that will be recognised includes committee work, exam panels, event speaker or exam writers.
- Sponsors of your application:** You are required to provide two sponsors, one of whom should be either an executive director, a non-executive director or partner in the applicant's firm, or any member holding MCSI or above, or a professionally qualified lawyer or accountant. Brief Statements from each sponsor supporting your application is required.
- Fees:** Payment must be included with the application form before it can be processed. The £120 registration fee is non refundable.
- Payment methods:** Payment can either be made by attaching a cheque to the application form or including your credit card details.
- Applications will normally take approximately one month to process, but may take up to 3 months after the application is received.
- In the case of an appeal against the original decision, the application will be reviewed by the full Membership committee and their decision is final.
- Relevant documents that need to be included with your application are:
 - Curriculum Vitae
 - Evidence (or copy) of any relevant academic and/or professional qualifications
 - Evidence of membership of relevant professional bodies/associations
 - Current job description/role profile
 - Current organisation chart
 - Statements of support from sponsors
 - Evidence of senior/middle management position

MCSI by experience - Points system

Eligibility criteria	Points awarded	Actual Points
Evidence of Senior Management role	5	
Evidence of Middle Management role	1	
Experience:		
20 years + relevant industry experience, or	5	
15 years + relevant industry experience	3	
Relevant Qualification:		
Relevant professional qualification, or	2	
BSc in Financial Accounting or relevant degree	2	
Actively demonstrated presently or in the past support of the CISI (i.e. committee work, speaking at CISI events, exam writer, etc)	1	

Points system used by CISI

11 points or above	Normally acceptable - formal ratification through Membership Committee
9 to 10 points	Borderline case - referred to Membership Committee nominees for decision
8 points or below	Not acceptable - letter detailing reasons to be sent, ratification through Membership Committee

There is an alternative route to MCSI for CISI Level 6/7 achievers and holders of relevant professional qualifications.

Please see our website or contact the Customer Support Centre for details of this.

Your application will be treated in the strictest confidence.

We look forward to receiving your completed application form.

telephone: **+44 20 7645 0777**

email: **applications@cisi.org**

website: **cisi.org**

For internal use

Please confirm the documents attached:

- Curriculum vitae or LinkedIn Profile
- Evidence of Senior/Middle Management position and job description or profile of the role
- Two statements of support from sponsors
- Evidence or copy of any relevant qualifications (if applicable)
- Evidence of membership of relevant professional bodies/associations (if applicable)

Reviewer's initials:

Date: