

Membership Application Form (MSI)

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

(Details of admission criteria can be found on our website www.securities-institute.org.uk)

<p>1. Personal details</p> <p>Title _____</p> <p>First name(s) _____</p> <p>Surname _____</p> <p>Private address _____</p> <p style="text-align: right;">Postcode _____</p> <p>Tel. _____ Fax. _____</p> <p>Email _____</p> <p>Date of birth _____</p> <p>Nationality _____</p> <p>Former name(s) if any _____</p> <p>Date of change _____</p>	<p>2. Work details</p> <p>Firm name _____</p> <p>Job title _____</p> <p>Department _____</p> <p>Firm address _____</p> <p style="text-align: right;">Postcode _____</p> <p>Direct tel. _____</p> <p>Direct fax. _____</p> <p>Email _____</p>
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3. Securities Institute Qualification *(please give details)*

4. Other Professional Qualifications *(please attach a certified copy of the pass certificate)*

Qualifications	Designatory letters
_____	_____
_____	_____
_____	_____

5. Academic Qualifications *(please state your highest level of academic qualification, e.g. A' Levels or degree)*

6. Contact information *(tick one)*

Correspondence to be delivered to: Work Home

Preferred communication method: Mail Email Either

Address to appear in Members directory: Work Home None

Who will pay annual subscription? Firm Self

If firm, please provide the following information:

Dept: _____ Cost centre: _____

Contact name: _____

Address *(if different from above)*: _____

7. Area of work *Please tick box(es):*

<p>Institutional Sales</p> <p><input type="checkbox"/> Equities</p> <p><input type="checkbox"/> Bonds/Fixed Interest</p> <p><input type="checkbox"/> Gilts</p> <p><input type="checkbox"/> Derivatives</p> <p><input type="checkbox"/> Commodities</p> <p><input type="checkbox"/> Swaps</p>	<p><input type="checkbox"/> Market Maker</p> <p><input type="checkbox"/> Corporate Finance</p> <p><input type="checkbox"/> Institutional Fund Manager</p> <p>Private Client Advice</p> <p><input type="checkbox"/> Advisory</p> <p><input type="checkbox"/> Discretionary</p>	<p><input type="checkbox"/> Legal and Compliance</p> <p><input type="checkbox"/> Finance</p> <p><input type="checkbox"/> IT</p> <p><input type="checkbox"/> Analyst</p> <p><input type="checkbox"/> Operations</p> <p><input type="checkbox"/> Training</p>
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Other
Please specify: _____

8. Declaration

- I have not been adjudged bankrupt or insolvent or compounded with my creditors and I am not currently subject to disciplinary procedures by the FSA or any professional body
- I apply to become a MSI member of the Securities Institute and agree to abide by the Membership Rules and the Institute's Memorandum and Articles of Association, and to uphold its high standards as published in its Professional Code (Rules and Code available from website, Memorandum and Articles available on request). Any breach of the Rules may give rise to disciplinary procedures and termination of my membership
- I know of no reason why I should not become a MSI member

Signature: _____

Name in full: _____

9. Referee

(Only required for applicants who do not have regulatory approval.)

Referee – either a Member or Fellow of the Securities Institute or a person who exercises a governing function or a significant management function under FSA rule Sup 10.4.5

I support (full name) _____

in applying to become a MSI member of the Securities Institute. I believe from my personal knowledge of him/her, that he/she fulfills the requirements of the Securities Institute.

Signature: _____

Name in full: _____

Job title: _____

Date: _____

10. Payment (Please complete as appropriate)

The joining fee for MSI membership is £50 and the annual subscription is £125. The joining fee and subscription are payable at the time of application. **Thereafter, subscriptions are due annually on 1st April**, and may be paid by direct debit (see below).

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 - £125
£175 inc joining fee
- Jul - Sep - £93.75
£143.75 inc joining fee
- Oct - Dec - £62.50
£112.50 inc joining fee
- Jan - Mar - £156.25 (includes fees for the following subscription year)
£206.25 inc joining fee

If paying by cheque or credit card please ensure you pay the joining fee and correct pro-rata amount.

Receipt required

Payment by firm:

I authorise payment for membership to be invoiced to our general account:

Print name: _____

Signed: _____

HR department

Payment by cheque:

Cheques should be made payable to:

'Securities Institute Ltd' and crossed 'Account Payee only'.

Cheque attached

Payment by Card:

I wish to pay by: *American Express/Delta/Eurocard/MasterCard/Switch/Visa

**Delete as applicable*

I authorise you to debit my account with the amount of Apr - Jun - £175 Jul - Sep - £143.75 Oct - Dec - £112.50 Jan - Mar - £206.25

Card number:

Expiry date: ___/___

Switch/AMEX issue date: ___/___

Switch only issue No: _____

Card holder's name: (if different to that in Section 1 of this form) _____

Signature: _____

Instruction to your Bank or Building Society to pay by Direct Debit

Please fill in this form and send the original hard copy by post to:

Membership Department, Securities Institute, Centurion House, 24 Monument Street, London EC3R 8AQ



Name and full postal address of your Bank or Building Society

To: The Manager	Bank/Building Society
Address	
Postcode	

Name(s) of Account Holder(s)

Bank/Building Society account number

Branch Sort Code

Originator's Identification Number

Originator's reference number

Sec/Inst/

(for office use only)

Instruction to your Bank/Building Society

Please pay the Securities Institute Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that the amounts are variable and may be debited on various dates.

Signature(s)

Date

Banks and Building Societies may not accept Direct Debit instructions for some types of account

This guarantee should be photocopied and retained by the Payer.

The Direct Debit Guarantee



- This guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency & security of the Scheme is monitored and protected by your own Bank or Building Society.
- If the amounts to be paid or the payment dates change, the Securities Institute will notify you in advance of your account being debited or as otherwise agreed.
- If an error is made by the Securities Institute or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to us.