

# Membership Upgrade Form

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

I wish to apply to upgrade my membership in accordance with the Membership Rules

(Please tick which category you are applying for)  MSI  FSI

(Details of upgrade criteria can be found on our website [www.securities-institute.org.uk](http://www.securities-institute.org.uk))

<p><b>1. Personal details</b></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><b>2. Work details</b></p> <p>Firm name _____</p> <p>Job title _____</p> <p>Department _____</p> <p>Firm address _____</p> <p>_____</p> <p style="text-align: right;">Postcode _____</p> <p>Direct tel. _____</p> <p>Direct fax. _____</p> <p>Email _____</p>
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**3. 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): \_\_\_\_\_

\_\_\_\_\_

**4. Type of firm** Please tick one box indicating primary nature of business:

<input type="checkbox"/> Accountants	<input type="checkbox"/> Asset Management	<input type="checkbox"/> Execution Only	<input type="checkbox"/> Fund Management
<input type="checkbox"/> Investment Banking	<input type="checkbox"/> Private Banking	<input type="checkbox"/> Solicitors	<input type="checkbox"/> Stockbroking
<input type="checkbox"/> IFA	<input type="checkbox"/> Life Company	<input type="checkbox"/> Other - Please specify: _____	

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

<p><b>Institutional Sales</b></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><b>Private Client Advice</b></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>	<p><input type="checkbox"/> Other</p> <p>Please specify: _____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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**5. 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, other regulatory body, or any professional body.
- I apply to upgrade my membership of the Securities Institute and agree to continue 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

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

**6. Statement of Continuing Learning**

I can verify that I have performed Continuing Learning in accordance with Annex 3 of the Membership Rules (available on the website) and qualifying for the upgrade in Membership.

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

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

I can confirm that the above has carried out Continuing Learning as detailed in Annex 3 of the rules and is deemed competent. (to be signed by the Compliance Officer/Training Officer/Director)

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

Name in full: \_\_\_\_\_

Job title: \_\_\_\_\_

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

**7. Payment** (Please complete as appropriate)

The upgrade fee is £50, plus the difference in annual subscription between your current subscription fee and the category of Membership for which you are applying. The upgrade fee and subscription fee are payable at the time of upgrade. **Thereafter, subscriptions are due annually on 1st April**, and may be paid by direct debit (see below).

I would like to upgrade from  Associate to MSI £95.00  MSI to FSI £50.00

(There is no pro-rata arrangement)

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  £95.00 Associate to MSI  £50.00 MSI to FSI

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	

Originator's Identification Number

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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.