



## 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.sii.org.uk](http://www.sii.org.uk))

### 1. Personal details

Title \_\_\_\_\_  
 First name(s) \_\_\_\_\_  
 Surname \_\_\_\_\_  
 Private address \_\_\_\_\_  
 \_\_\_\_\_ Postcode \_\_\_\_\_  
 Tel. \_\_\_\_\_ Fax. \_\_\_\_\_  
 Email \_\_\_\_\_  
 Date of birth \_\_\_\_\_  
 Nationality \_\_\_\_\_  
 Former name(s) if any \_\_\_\_\_  
 Date of change \_\_\_\_\_

### 2. Work details

Firm name \_\_\_\_\_  
 Job title \_\_\_\_\_  
 Department \_\_\_\_\_  
 Firm address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode \_\_\_\_\_  
 Direct tel. \_\_\_\_\_  
 Direct fax. \_\_\_\_\_  
 Email \_\_\_\_\_

### 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:

Accountants

Asset Management

Execution Only

Fund Management

Investment Banking

Private Banking

Solicitors

Stockbroking

IFA

Life Company

Other - Please specify: \_\_\_\_\_

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

#### Institutional Sales

Equities

Market Maker

Legal and Compliance

Other

Bonds/Fixed Interest

Corporate Finance

Finance

Please specify: \_\_\_\_\_

Gilts

Institutional Fund Manager

IT

Derivatives

#### Private Client Advice

Analyst

Commodities

Advisory

Operations

Swaps

Discretionary

Training

### 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 & Investment 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
- I agree to maintain competence through CPD as outlined in Annex 3 of the Membership Rules

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

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

Please post or fax this form to:

Membership Department, Securities & Investment Institute, 8 Eastcheap, London EC3M 1AE  
 Email: [memberservices@sii.org.uk](mailto:memberservices@sii.org.uk) Tel: 020 7645 0650 Fax: 020 7645 0601 [www.sii.org.uk](http://www.sii.org.uk)

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