SECURITIES & INVESTMENT INSTITUTE CERTIFICATE EXEMPTION REQUEST FORM

Candidate No: ☐☐☐☐☐☐☐☐ *if known*

PERSONAL DETAILS

Surname: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Title: *eg Mr/Mrs/ Miss/Ms* ☐☐☐☐☐☐

Forename(s): ☐☐

Private address: ☐☐

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Postcode: ☐☐☐☐☐☐☐

Home telephone: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Date of birth: ☐☐☐☐☐☐

EMPLOYMENT DETAILS

Name of firm: ☐☐

Firm's address: ☐☐

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Postcode: ☐☐☐☐☐☐☐

Position held: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Nationality: ☐☐☐☐☐☐☐

Daytime telephone: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Email address: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ *if applicable*

PAYMENT: *Please fill out the appropriate information*

Account Firms: ☐ *Please invoice.*

Payment by Cheque: Cheques should be made payable to 'Securities & Investment Institute' and crossed 'Account Payee only'. ☐ *Cheque attached*
Payment by Card: Securities & Investment Institute accepts payment by certain types of payment card—**American Express, Delta, Eurocard, MasterCard, Switch** and **Visa.** If you would prefer to make your payment by card, please complete the information requested below, then fill out your cardholder details. Forms may then be faxed or posted to the Securities & Investment Institute. If submitting the original form by post after having sent it by fax, please tick this box to ensure you are not charged TWICE: ☐
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 £50/£100 (delete as appropriate)

Card number: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Expiry date: ☐☐☐☐ Switch/AMEX issue date: ☐☐☐☐ Switch only issue no: ☐☐

Cardholder's name: *(if different to that on previous page of this form)*

☐☐

Cardholder's address: *(if different to that on previous page of this form)*

☐☐

☐☐

Signature: ..... Telephone: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Please note: purchases made with a credit card will incur a 2% surcharge to cover administration & handling fees. This does not apply to debit card transactions.

---

please tick subject box

EXEMPTION REQUESTED Unit 1 FSA Financial Regulation ☐

Unit 8 Investment & Risk ☐

Qualification offered for exemption: .....

A copy of the relevant certificate, certified by your employer as a true copy, must be enclosed with this form. (The exemption will not be processed until this is received.)

DECLARATION: "I declare that the information I have supplied is complete and correct. In considering my application for exemption, I agree that I will comply with and be bound by the Memorandum and Articles of Association and Rules of the Securities & Investment Institute which are or may be in force from time to time." I am happy for the Institute to confirm these details with the relevant issuing body.

Candidate's Signature ..... **Date:** .....

Please complete and return to:

Securities & Investment Institute, 8 Eastcheap, London, EC3M 1AE
Telephone: 020 7645 0680 Facsimile: 020 7645 0601 Email: **exemptions@sii.org.uk**