

CISI Application Form for Chartered Wealth Manager

All questions to be answered and printed in ink and in block capitals. All questions are mandatory unless stated otherwise.

1. PERSONAL DETAILS

- a. CISI Membership number :
- b. CISI Candidate number:
- c. Title:
- d. First and middle name(s):
- e. Surname:
- f. Date of birth:

2. CHARTERED WEALTH MANAGER

If you have met the following criteria you can obtain Chartered Wealth Manager.
 You must:

- have the CISI Chartered Wealth Manager Qualification (formerly known as the CISI Masters in Wealth Management);
- or
- hold the CERTIFIED FINANCIAL PLANNER™ certification (CFP™) in the UK;
- be a Chartered Fellow or Chartered Member of the CISI;
- have a pass in the CISI IntegrityMatters;
- have met the 35 hour CPD requirement on the CISI CPD Scheme or CISI Firm Accredited Scheme.

3. DISCIPLINARY HISTORY (TICK ONE)

- I have been convicted of a criminal offence Yes No
- 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
- I have currently or have been subject to disciplinary proceedings by the FCA, other regulator or any professional body within the past five years. Yes No
- 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.

4. DECLARATION

1. As 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
2. 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.
3. I agree to maintain competence through CPD by completing 35 hours CPD with a minimum of 21 hours being structured annually and 10% covering ethics annually.
4. I confirm that I am currently working within the Wealth Management sector.

Signature: _____ Date DD/MM/YYYY

Name in full: _____

