

# CISI Chartered Firm™ Application Form – New Application

Please read the **CISI Chartered Firm™ Guidance** and complete all sections of this form.

## 1. Contact details

Name:

Job title:

Work address:

Phone number:

Email:

## 2. Responsible Member details

The Responsible Member must be a CISI Chartered member who is a member of the firm's Board (or where permitted by the CISI, a member of the Appropriate Management Team)

Please tick here if same details as section 1 ☐

Name:

Job title:

CISI membership number:

Work address:

Phone number:

Email:

## 3. Your firm's details

Name:

Firm trading name (if different):

Address:

Phone number:

Website:

Company registration number:

Regulator registration number (from FCA, or similar):

Firm's core area of specialty:

## 4. Eligibility criteria

4.1

Total number of employees:

Total number of employees in your firm's core area of specialty:

Total Number of employees in your firm's core area of specialty that are members of the CISI:

Total number of employees in your firm's core area of specialty who are personally Chartered members (either holding Chartered Member, Chartered Fellow or Chartered Fellow (Financial Planning) designation) with the CISI.

Total number of Board Members or appropriate management team:

4.2 Please tick to confirm the following eligibility criteria:

- Your firm is recognised and regulated by the FCA or relevant regulator. ☐
- A minimum of one of your firm's Board\* is a personally Chartered Member, Chartered Fellow or Chartered Fellow (Financial Planning) of the CISI. ☐
- A minimum of 50% of employees in your firm's core area of specialty are personally CISI Chartered Members, CISI Chartered Fellows or Chartered Fellows (Financial Planning). ☐
- The entire Board\*, together with a minimum of 90% of your staff in your core area of specialty, are members of the CISI. ☐
- Your firm actively encourages and supports its staff to progress through the CISI qualifications programme. ☐
- Your firm has in place an appropriate professional development programme in line with CISI CPD requirements. ☐
- Your firm has in place core values and business practices that align with the CISI Code of Conduct. ☐
- Your firm has been trading for a minimum of three years ☐
- Your firm is based in the UK, Isle of Man or the Channel Islands. ☐

Applications for CISI Chartered Firm™ status will not be accepted from applicants who fall within the following categories:

- Sole traders
- Limited liability companies which have one director only and fewer than three members employees

Please tick to confirm that your firm is not in any of the categories above

\*Note: where the core area of specialty of the company or partnership is not Securities & Investment and a specialist division has been created for the purpose of managing this part of the business, the CISI may, at its discretion, recognise the management entity as equivalent to the Board.

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## 5. Disciplinary history

Details of complaints included in this application will be reviewed by the CISI Head of Membership, who will make a decision as to whether your firm may be awarded CISI Chartered Firm™ status. The decision of the CISI Head of Membership is final.

a) Has your firm been subject to any disciplinary proceedings, including civil, criminal or disciplinary proceedings against the it or its representatives in the last five years? (tick one) Yes ☐ No ☐

Please provide details with your application if you have responded yes to this question.

b) How many complaints (as defined by the FCA) were submitted over the past 12 months?

c) Of the complaints submitted, how many were submitted to the Financial Ombudsman Service (or international equivalent) where a decision was upheld?

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## 6. Supplementary information

Please confirm that you have the following policies:

- a) Vulnerable Customers policy (if applicable) ☐
- b) Sustainability Policy ☐
- c) Diversity & Inclusion Policy ☐

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## 7. Data protection and privacy

On applying for CISI Chartered Firm™ status, you are agreeing for the CISI to publish the details and status of your firm on the CISI Chartered Firm™ webpage. ☐

Our Privacy Policy and information on how we collect, and process data are available [here](#)

8. Terms and Conditions:

Please read and confirm you have read and agree to the CISI Terms & Conditions on behalf of your firm.  
I confirm I have read and agree to the Terms and Conditions. ☐

9. Payment

A fee is payable to the CISI by your firm to obtain the CISI Chartered Firm™ status. On acceptance of your application, we will contact you to collect this, and then annually thereafter upon renewal.  
Firms with fewer than 50 employees yearly fee £ 500  
Firms with 50 or more employees yearly fee £ 1,000

Date:   /   /

Print name:

Signed:

Job title:

Email address\*:

\*if your firm has an invoicing account, this email will be used for the finance contact, if your firm does not have an invoice account, a payment link will be sent to this email address.

10. Agreement details

- Once this application is approved, an agreement will be signed.
- CISI Chartered Firm™ status will start from the first day of the following month.
- The annual fee will be published on the CISI website and reviewed on an annual basis.
- 6-8 weeks prior to your annual renewal your firm will be asked to review its original application and provide updates of any details that may have changed. The CISI may temporarily remove your firm from the register if payment is not received in a timely manner.
- You may only use the CISI Chartered Firm™ Logos and Marks associated with this status in accordance with the trademark and brand guidance published by the CISI.
- CISI will promote your firm through the CISI website.
- If your firm fails to maintain the standards associated with the CISI Chartered Firm™ status, the CISI may terminate the agreement immediately and at any point.

Signed on behalf of your firm by you, the Responsible Member

Name:

Signature:

Date:   /   /

Office use only

Initial approval by:

Date:   /   /

Final approval by:

Date:   /   /

## Form A – Directors' details

To be completed in relation to supporting the criteria showing all members of the Board\* are CISI members:

[illegible]

## Form B – CISI members of staff working in your firm's core area of specialty

To be completed in relation to supporting the criteria that a minimum of 90 percent of your employees are members of the CISI within your firms' core area of specialty.

[illegible]

If the list of employees in your firm's core area of speciality exceeds 20, please send a spreadsheet alongside your application with the additional employees.

We will confirm receipt of your application form within 2 working days.

We will conduct an initial review of your application within 10 working days of receipt, after which we will contact you with a full update, including any additional information that may be required to approve the application.

We aim to fully process all applications within 1 month of receipt, but please note that for complex applications or where significant additional information is required this may take longer. Where this is the case we will keep you fully updated throughout the application process.

**Please email this form or any questions to your CISI Client Relationship Manager or [charteredfirms@cisi.org](mailto:charteredfirms@cisi.org)**