



CISI APPLICATION FORM FOR BAILIWICK OF GUERNSEY STATEMENTS OF PROFESSIONAL STANDING (SPS)

All questions are mandatory unless stated otherwise. If completing the application form by hand, please note that all questions answered must be printed in ink and in block capitals. Where confirming a statement as correct, please only place a 'X' in the box. Please note that incorrectly completed or ineligible forms will be returned to the applicant for resubmission. Statements of Professional Standing are available only to Retail Investment Advisers.

If the application is incomplete or inaccurate, individuals will now be advised by email if their application cannot be processed and will be given five days to supply the missing documentation. Regrettably, if this information is not received by the end of the fifth day, the application will be declined.

1. Which type of SPS Certificate are you applying for?

- a. Initial (I have not previously held an SPS certificate with CISI or any other professional body)
- b. Renewal (Please also tick the appropriate box below)
 - I have previously held an SPS certificate with CISI
 - I have previously held an SPS certificate with another professional body

2. Personal details of adviser

- a. CISI Customer & Membership number: _____ & _____
 - b. First name(s): _____
 - c. Middle name(s): _____
 - d. Surname: _____
 - e. Former name(s) if applicable: _____
 - f. Date of birth: / /
 - g. Preferred Contact Email: _____
- In order to obtain an SPS with the CISI you must be at least an Affiliate member.*

4. Specialist Areas

Please issue my SPS for the following areas:

- Securities
- Derivatives

I am a Financial Adviser of a licensed insurance intermediary and I work within the following specialist area:

- Collective Investment Schemes & Long Term Insurance Business.

If your previous SPS was not issued by the CISI, please attach certified evidence of your RDR qualification and Gap-fill (if applicable)

(please note, you do not need to attach evidence for CISI qualifications)

CISI OFFICE USE ONLY
(Initial applications)
Date Qualifications
achieved:
 / /

3. Statement of Professional Standing Information

a. Please provide the below information:

- i. Firm name: _____
- ii. GFSC reference: _____
- iii. SPS start date: / /
- iv. I wish my SPS to be renewed the day after my current SPS expires: Yes No

SPS Date

(When a date is not chosen by the applicant, the SPS start date will be the date we receive the application)

I want my SPS to start / /

If there is a gap between your previous SPS certificate and your application please provide a reason for this below (i.e. Statutory leave, career break, change of employment position).

5. CPD Requirements

CPD is a mandatory requirement for advisers but there are exceptions. Please see the CISI guidance at cisi.org/rdr for more Information. If you are applying for a renewal and have opted out of meeting the CPD requirement, please ensure that you have attached a letter from your firm to this application, confirming the dates that you were out of the office on statutory leave.

a. Please tick one of the relevant boxes below:

- I have not met the CPD requirements in full, with the agreement of my employer, due to extenuating circumstances
- I can confirm I have met the 35-hour CPD requirement in full and this is logged on the CISI's CPD system
- I am a newly qualified financial adviser and have opted not to meet the full CPD requirement, with the agreement of my employer.
(applicable to initial applicants only)

b. CPD Dates *(initial applications only)*

If you have a CPD year start date which you would prefer please provide this here / /

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6. Disciplinary History

a. Have you been denied an SPS or had an SPS suspended or withdrawn by another Accredited Body? Yes No

(If you answered yes, please provide details including the relevant Accredited Body and the reason for the SPS's denial, suspension or withdrawal to standards@cisi.org, quoting your name and customer number)

b. Have you been subject to disciplinary investigation, that has lead to disciplinary actions or sanctions by your firm, a regulator, the CISI, any other Accredited Body or any other organisation that you have not previously declared to the CISI? Yes No

c. Have you been convicted of a criminal offence? Yes No

(Please note that you do not need to disclose convictions that are spent under the Rehabilitation of Offenders Act 1974, or protected convictions that are filtered from a standard or enhanced Disclosure and Barring Service (DBS) check.)

7. Declaration (to be completed by adviser)

This section must be completed by the adviser for whom an SPS is being applied for. No other persons are permitted to complete this section of the application form.

- This section must be completed by the financial adviser for whom an SPS is being applied for. No other persons are permitted to complete this section of the application form.
- I confirm that this application is a true and accurate reflection of my status and competence. I understand that if I am found to have provided the CISI with a false declaration or false information in relation to any aspect of this SPS application then this may result in the SPS not being issued or subsequently withdrawn.
- I agree to the CISI sharing and obtaining information about my application and information which is relevant to my financial adviser status with the GFSC (and subsequent relevant regulators).
- I understand that if issued with an SPS by the CISI, this is subject to passing a CPD audit if selected.
- I understand that if issued with an SPS, this will remain the property of the CISI and can be withdrawn at any time upon request.
- I agree to inform the CISI immediately if any information related to this application changes.
- I confirm that my 'contact details' and 'profile' in 'my details' section at cisi.org/mycisi are current and correct.

By signing the below I confirm that I have read, understood and agreed to the CISI's SPS terms and conditions above, and those available at cisi.org

Print name: _____

Signature: _____

Date: / /

8. Licensee verification

Licensees are required to verify their financial advisers' SPS applications. This needs to be completed by the nominated verifier. Under no circumstances should this section be completed by the financial adviser or anyone other than a CISI approved nominated verifier. Please note applications not verified by the nominated Licensee will not be processed. Details on SPS verification can be found at cisi.org/spsgsy.

I confirm that the applicant is currently authorised as a financial adviser and the information submitted by the financial adviser in the sections below is a true and accurate reflection to the best of my and my firm's knowledge:

Print name: _____

Job title: _____

Email address: _____

Signature: _____

Date: / /

If your firm does not have an approved verifier, please contact spsapplications@cisi.org for further guidance.

9. Future SPS payment

Please place a cross in one of the boxes below:

CISI Members

In future, I wish to pay for my SPS with my CISI membership subscription. In doing so I understand that payment must be made by 31 May on each year, otherwise the CISI will be unable to apply the SPS payment in advance discount

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In future, I (or my firm) wish to continue to pay for my SPS on application

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Process Issue

