

CISI APPLICATION FORM FOR STATEMENT OF PROFESSIONAL STANDING

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 provide the missing information/documentation. Regrettably, if this information is not received by the end of the fifth day, the application will be declined.

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1. Which type of SPS Certificate are y	ou applying for?	
a. Initial (I have not previously held	d an SPS certificate with CISI c	or any other professional body)
b. Renewal (Please also tick the ap	propriate box below)	
I have previously held an	SPS certificate with CISI	
	SPS certificate with another p	arafacsianal hady
2. Personal details of adviser		3. Statement of Professional Standing Information
a. CISI Customer & Membership number: &		a. Please provide the below information:
b. First name(s):		i. Individual FCA Reference number:
c. Middle name(s):		ii. Firms FCA Reference Number:
d. Surname:		iii. Firm name:
e. Former name(s) if applicable:		iv. CISI Firm Number (if known):
		b. Please tick the statement that is applicable to you:
f. Date of birth: / /		I am an Appointed Representative or a Sole Trader
g. Preferred Contact Email: In order to obtain an SPS with the CISI you m	nust he at	I work under the SMCR
least an Affiliate member.	usi be ui	c. SPS Date (When a date is not chosen by the applicant, the SPS start date will be the date we receive the application or for
		renewal applications this will be from the date that your SPS has
		expired.)
4. FCA Specialist Activities Please tick the relevant boxes below	CISI OFFICE USE ONLY	I want my SPS to start / /
a. I work within the following	(Initial applications)	If there is a gap between your previous SPS certificate and
specialist area(s):	Date Qualifications achieved:	your application please provide a reason for this below (i.e. Statutory leave, career break, change of employment position).
Securities (FCA Activities 2 &12)		reave, career break, change of employment position).
Derivatives (FCA Activities 3 & 13)		
	a allur a a ai a tur	
Retail investment products and frie tax-exempt policies (FCA Activities 4 8		
		5. CPD Requirements CPD is a mandatory requirement for advisers but there are
Details of what activities are covered in each specialist area can be found in the FCA appropriate gualifications tables.		exceptions. Please see the CISI guidance at cisi.org/rdr for more
(https://www.handbook.fca.org.uk/handbook/TC/App/4/1.html)		Information. If you are applying for a renewal and have opted out
b. Please attach certified evidence of y	our appropriate	of meeting the CPD requirement, please ensure that you have
qualification		attached a letter from your firm to this application, confirming
(please note, you do not need to attach evide	ence for CISI qualifications)	the dates that you were out of the office on statutory leave.
		☐ a. Please tick one of the relevant boxes below:
6. FCA Requirements and Code of Co	nduct	I can confirm I have met the 35-hour CPD requirement in full
	1 f	and this is logged on the CISI's CPD system
I confirm that I understand, and will ECA COCON requirements	i fully comply with the	I have opted not to meet the CPD requirement with the
FCA COCON requirements		agreement of my employer as this is my first SPS.
(applicable to Advisers under the SMCR) or the FCA APER requirements (applicable to Appointed Representatives and Sole		(applicable to initial applicants only)
Traders)		□ I have opted-out of meeting the CPD requirements due to
		statutory leave, with the agreement of my employer
I confirm that I understand and will	comply with the	(applicable to renewal applicants only)
CISI Code of Conduct over the follow	ving 12 months.	
		b. CPD Dates
		My CPD year closes within 92 days prior to my SPS start date.
Office use only - Application Review (Page	1)	(If your CPD year does not end within 92 days prior to your SPS start date, we will realign your CPD year to a date that best suits.)
Process		we will realight your CFD year to a adde that dest suits.

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

Issue

7. Disciplinary History	
a. Have you been denied an SPS or had an SPS suspended or withdrawn by another Accredited Body?	Yes No
(if this has occurred please provide details of the relevant Accredited Body and the reason provided for the	
SPS application being denied or the SPS being suspended or withdrawn 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	Yes No
not previously declared to the CISI?	
c. Have you been convicted of a criminal offence? (Please note that you do not need to disclose protected convictions that are filtered from a standard and enhanced Disclosure and Barring Service (DBS) check)	Yes No

8. 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.

- I am a Retail Investment Adviser as defined by the FCA and I currently work within the Financial Retail sector.
- 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 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/rdrspsapplication.

Print name:

Signature:

Date: / /

9. Firm Verification (If required by your firm)

This section needs to be completed by the nominated firm verifier. Under no circumstances should this section be completed by the adviser or anyone other than a CISI-approved nominated verifier.

I confirm that the information submitted by the adviser is a true and accurate reflection after due enquiry and 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.

10. 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 much 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

Office use only - Application Review (Page 2)	
Process	
Issue	

11. Payment (Please complete as appropriate) Please note there is a £25 administration fee for processing manual renewal applications. The £25 administration fee is waived for any applicant that is applying for a Basic SPS due to statutory leave or applicants where this option has been waivered by the CISI due to extenuating circumstances.
a. Please tick the relevant boxes below for your application form:
Initial Application Fee I am paying for my SPS application fee of £50.00 My firm are paying for my SPS application fee of £50.00
Renewal Application Fee I or my firm have paid £23 in advance for my SPS with my CISI membership I or my firm are paying for my SPS on application, £37 plus £25 administration fee
b. Payment by Invoice to firm (this section must be completed by your firms finance contact)
Contact name:
Purchase order no.:
Address:
l (finance contact) authorise payment to be invoiced to our general account:
Signature Date: / /
Payment by Cheque: Cheques should be made payable to: 'Chartered Institute for Securities & Investment' and crossed `Account Payee only'. Cheque attached
c. Payment by Card
The Chartered Institute for Securities & Investment accepts payment by certain types of payment card – American Express, Delta, Eurocard, MasterCard, Maestro and Visa. If you would prefer to make your payment by card, please complete the information requested below:
wish to pay by: *American Express/Delta/Eurocard/MasterCard/Maestro/Visa *Delete as applicable
Please contact me or other
by telephone/email * to make payment on my behalf.
Telephone number:
Email address:
*If you have selected via email you will receive a payment link from customersupport@cisi.org to complete
Name:
Signature:
CISI OFFICE USE ONLY Date Application Received:
Initial Review Signature: Date
Final Review Signature: Date
Notes:

Please post or email this form to:

Membership Operations Team, Chartered Institute for Securities & Investment, 20 Fenchurch Street, London EC3M 3BY

spsapplications@cisi.org / +44 20 7645 0777