



## Local Society Membership Application

To apply for a Local Society Membership in CFAA, complete and email this form to the email addresses below.

To attend a CFAA event once your enrollment has been accepted, make your reservation using the online reservation system on the CFAA website with special attention to the **Upcoming Events** section.

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Date: \_\_\_\_\_

Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

Phone \_\_\_\_\_

E-mail address \_\_\_\_\_

*Employment Information (if applicable)*

Employer \_\_\_\_\_

Job Title \_\_\_\_\_

**References** (One reference must be a CFA Institute Member)

Name of Reference #1 \_\_\_\_\_

Contact email/phone \_\_\_\_\_

Name of Reference #2 \_\_\_\_\_

Contact email/phone \_\_\_\_\_

Application Fee: \$150 for a full year Membership

Join Date: \_\_\_\_\_

(The date you would like your membership to start)

**Please email completed form to:**

Membership Chair, [membership@cfaaustin.org](mailto:membership@cfaaustin.org)  
Patty Steinwedell, Executive Director, [admin@cfaaustin.org](mailto:admin@cfaaustin.org)

**Payment:**

**Details will be sent after membership approval**

## **CFA Personal Conduct Statement**

To apply as a member of CFA Society Austin, you are required to answer the following questions. If any answer is "yes," the matter described in questions must be disclosed.

1. In the last two years, have you been the subject of any written complaint or accusation regarding your professional conduct or activities?

☐ No ☐ Yes

2. In the last two years, have you been the subject of any investigation (internal or external) in which your professional conduct or activities were questioned or at issue?

☐ No ☐ Yes

3. In the last two years, have you been the subject of, or a defendant or respondent in, any litigation, arbitration, or other action or proceeding in which your professional conduct or activities were questioned or at issue?

☐ No ☐ Yes

4. In the last two years, have you been reprimanded, censured, restricted, suspended, barred, enjoined, or otherwise sanctioned by any regulator, professional organization, government agency, or court because of your professional conduct or activities?


☐ No ☐ Yes

5. In the last two years, have you been accused of, been convicted of, or pleaded guilty to, any crime relating to your professional conduct or activities?

☐ No ☐ Yes

6. In the last two years, have you been accused of, been convicted of, or pleaded guilty to, any crime (regardless of whether it involved your professional conduct or activities) that could have resulted in a sentence of more than one year in prison?

☐ No ☐ Yes


 I certify that my answers below are accurate, truthful, and complete. I also agree to notify CFA Society Austin promptly of any changes that would require a different response to any of the following questions:

### **CFA Society Austin Membership Agreement**

Members of CFA Society Austin are bound by CFA Institute's Code of Ethics and must read and agree to the following:

- Act with integrity, competence, diligence, and respect, and in an ethical manner with the public, clients, prospective clients, employers, employees, colleagues in the investment profession, and other participants in the global capital markets.
- Place the integrity of the investment profession and the interests of clients above their own personal interests.
- Use reasonable care and exercise independent professional judgment when conducting investment analysis, making investment recommendations, taking investment actions, and engaging in other professional activities.
- Practice and encourage others to practice in a professional and ethical manner that will reflect credit on themselves and the profession.
- Promote the integrity and viability of the global capital markets for the ultimate benefit of society.
- Maintain and improve their professional competence and strive to maintain and improve the competence of other investment professionals

1. I have read, understand, and agree to comply with the CFA Institute Code of Ethics and Standards of Professional Conduct, Bylaws, and Rules of Procedure ("Governing Documents") and other rules and regulations established by CFA Institute as amended from time to time.
2. I acknowledge the importance to CFA Institute and CFA Austin Society of its reputation and goodwill and to the public of maintaining high, uniform standards of quality in the services provided. In the event that this license terminates in accordance with the terms of this Membership Agreement, I will not be entitled to any refund of any fees already paid or owing as of the date of termination.
3. I hereby acknowledge that all of the information I have provided to CFA Society is true, correct, and complete in all respects.

 I have read, understood, and agree to the terms of the CFA Society Austin Membership Agreement.