

STUDENT MEMBERSHIP APPLICATION

Student society members have access to the same benefits as regular members except for voting privileges. The Student Society Membership is solely a CFA Society Columbus membership and does not include membership in the CFA Institute. The membership is intended for individuals who have no intention of pursuing the CFA Charter or are candidates in the CFA Program and are not yet interested in joining the CFA Institute.

PERSONAL INFORMATION:

Title: _____ First: _____ Last: _____

Are you a CFA Candidate? If so, what level?

EMPLOYER INFORMATION:

Employer: _____ Job Title: _____

Street Address: _____ Floor/Suite/MC: _____

City: _____ State: _____ ZIP: _____

Phone: _____ Work Mobile: _____ Email: _____

HOME INFORMATION:

Street Address: _____ Floor/Suite/Apt: _____

City: _____ State: _____ ZIP: _____

Phone: _____ Mobile: _____ Email: _____

Preferred Contact Information: _____ Work _____ Home

EDUCATION:

Education (highest degree completed) _____ Year: _____

College Name: _____

AFFIRMATION

I hereby assert that the facts as stated in this application are correct and complete, and I accept responsibility for their accuracy. I understand that in the event that my application is not accepted, the dues will be returned minus fees to cover the cost of the events I have attended as a member pending acceptance. If I am accepted, I further state that I have read, understand, and agree to comply with CFA Society Columbus Articles of Incorporation, Bylaws, CFA Institute Code of Ethics, Standards of Professional Conduct, Rules of Procedure from Proceedings Related to Professional Conduct, and other rules and regulations established by CFA Institute, as amended from time to time. I understand that my membership will be subject to suspension or revocation for violation of CFA Institute's Rules and Regulations. I also agree to sign the Professional Conduct Statement every year that I renew my membership.

Signature: _____ Date: _____

STUDENT SOCIETY MEMBERSHIP APPLICATION, CONTINUED

PROFESSIONAL REFERENCES :

Below, please list two professional references. One of the references must be a former or current supervisor/ manager, or if self-employed, you may list a professional contact such as a client or peer in the financial community. The second reference must be a CFA Charterholder, and a member of CFA Society Columbus.

If you are applying for a student membership, a college professor is an acceptable professional reference. The second reference must be a CFA Charterholder, and a member of CFA Society Columbus.

Please ensure that the listed reference is aware that CFA Society Columbus may contact him/her to validate your business relationship and ethics.

Reference #1 (Professional Reference)

Name:

Company:

Title:

Email:

Phone:

How do you know this person:

Reference #2 (CFA Charterholder)

Name:

Company:

Title:

Email:

Phone:

How do you know this person:

PAYMENT

CFA Columbus Student membership fee is \$25, paid on an annual basis. You will receive an invoice via PayPal or if preferred you can by check made payable to CFA Society Columbus.

Please e-mail applications to: mosleyj2021@gmail.com

or mail a hard copy to:

Jennifer Mosley
157 N. 20th Street
Columbus OH 43203

CFA SOCIETY COLUMBUS PROFESSIONAL CONDUCT STATEMENT

This statement must be signed and submitted with the membership application and on each annual membership anniversary

Please answer the following questions by marking the appropriate response for each. If you answer “yes” to any of the questions, please provide complete details on a separate sheet and attach it to this statement for review and consideration by CFA Society Columbus’ Board of Directors.

A. In the last two years, have you been the subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?

Yes No

B. In the last two years, have you been the subject of, a defendant in, or respondent to any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?

Yes No

C. In the last two years, have you been temporarily or permanently suspended, barred, banned, or otherwise prevented from: (i) working or participating in the securities industry; (ii) trading on any securities or contract market; (iii) acting as a broker, dealer, investment advisor, or other person required to register under any law or regulation; or (iv) acting as an employee; registered representative; or affiliated person of any entity required to register or be licensed under any law or regulation (i.e., investment company, bank, etc.)?

Yes No

D. In the last two years, have you been found to have aided, abetted, counseled, commanded, induced, or procured the violation of any securities- or commodities-related law, regulation, or rule?

Yes No

E. In the last two years, have you been convicted of or pled guilty to: (i) any crime defined as a felony or punishable by more than one year in prison (regardless of the sentence actually imposed), or (ii) any crime involving moral turpitude (fraud, lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?

Yes No

I have read, understand, and agree to comply with the CFA Institute **Code of Ethics, Standards of Professional Conduct**, CFA Society Columbus Bylaws, and Rules of Procedure for Professional Conduct and other rules and regulations established by CFA Institute and CFA Society Columbus as amended from time to time.

Yes

I certify that the above responses and all information provided by me on this Professional Conduct Statement are truthful, accurate, and complete, and I agree to notify CFA Society Columbus promptly of any material changes required in my responses to the foregoing questions. I acknowledge and understand that failure to comply with the CFA Institute Code of Ethics and Standards of Professional Conduct is grounds for disciplinary action against me and that failure to cooperate with any CFA Society Columbus investigation of my conduct is grounds for summary suspension.

Yes

Signature: _____

Date: _____