

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 speciality:

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

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.

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?

6. Supplementary information

Please confirm that you have the following policies:

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

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](#)

