

PRINT LEGIBLY
OR TYPE



CANDIDATE MEMBERSHIP APPLICATION

1 PERSONAL INFORMATION

CHECK ALL THAT APPLY: Employed Self-Employed Unemployed

DATE OF BIRTH: _____

GENDER: F M

Print your name.

PREFIX _____

FIRST (GIVEN) NAME _____

MIDDLE NAME OR INITIAL _____

LAST NAME (SURNAME) _____

SUFFIX _____

2 MEMBERSHIP INFORMATION

Candidate ID Number

3 CANDIDATE STATUS

Which level have you registered of the CFA Program? Level I Level II Level III

YEAR OF REGISTER _____

4 MAILING INFORMATION:

Preferred Mailing Address: * Business Home

BUSINESS NAME _____

BUSINESS STREET ADDRESS _____

SUITE/FLOOR _____

POST OFFICE BOX NUMBER _____

CITY _____

STATE/PROVINCE _____

COUNTRY _____

ZIP+4/POSTAL CODE _____

BUSINESS TELEPHONE

BUSINESS FAX

BUSINESS E-MAIL ADDRESS _____

COUNTRY CODE _____ AREA/CITY CODE _____ LOCAL NUMBER _____

COUNTRY CODE _____ AREA/CITY CODE _____ LOCAL NUMBER _____

JOB TITLE/DEPARTMENT _____

HOME STREET ADDRESS _____

APARTMENT NUMBER _____

POST OFFICE BOX NUMBER _____

CITY _____

STATE/PROVINCE _____

COUNTRY _____

ZIP+4/POSTAL CODE _____

HOME TELEPHONE

HOME FAX

HOME E-MAIL ADDRESS _____

COUNTRY CODE _____ AREA/CITY CODE _____ LOCAL NUMBER _____

COUNTRY CODE _____ AREA/CITY CODE _____ LOCAL NUMBER _____

5 PROFESSIONAL CONDUCT STATEMENT

Answer the following five questions by marking one of the appropriate boxes below. You must mark an affirmative response if any one of the questions applies. Note that any matter described in the following questions must be disclosed, even if the matter is still pending.

Have you ever been:

A. The subject of, a defendant in, or respondent in 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?

B. The subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?

C. Permanently or temporarily prevented from: (i) acting as a person required to be registered under any law or regulation (i.e., investment adviser, broker, dealer, etc.); (ii) acting as an affiliated person or employee of any entity required to be registered under any law or

regulation (i.e., investment company, bank, etc.); or (iii) trading on any securities or contract market?

D. Found to have aided, abetted, counseled, commanded, induced, or procured the violation by any person or entity of any securities or commodities-related law or regulation or any rule promulgated thereunder?

E. Convicted of (i) any felony or other crime punishable by more than one year in prison, or (ii) a misdemeanor involving moral turpitude (lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?

- No Yes, matter currently under investigation by CFA Society of Japan or CFA Institute
 Yes, not previously disclosed to CFA Society of Japan or CFA Institute
 Yes, matter previously investigated by CFA Society of Japan or CFA Institute; review concluded

I represent that my response to the Professional Conduct Statement and Member's Agreement, and all information provided by me herein is truthful and complete, and I agree to notify CFA Society of Japan or CFA Institute of any material changes to my response to the foregoing statements.

SIGNATURE **X** _____

PRINT NAME _____

DATE _____

6 MEMBER'S AGREEMENT

I agree to

- (i) adhere to all applicable rules and regulations of the CFA Society of Japan (the Society) and of CFA Institute, including but not limited to their Articles of Incorporation, their Bylaws, the Code of Ethics, Standards of Professional Conducts and other rules relating to professional conduct and membership, all of which may be amended from time to time;
(ii) be subject to the disciplinary jurisdiction and sanctions of the Society and CFA Institute;
(iii) submit information relating to professional conduct and activities as the Society or CFA Institute may request;
(iv) produce documents, testify, and otherwise cooperate in disciplinary proceedings of CFA Institute and adhere to such other applicable requirements as set forth from time to time by CFA Institute and the Society; and
(v) maintain membership In Good Standing with CFA Institute.

7 EDUCATION

Name of College/University attended: _____

Highest degree received: _____ No degree

Non-U.S. Applicants only: Is your degree equivalent to a U.S. Bachelor's degree or higher? Yes No

If student, expected graduation date: _____

MONTH		YEAR	

RETURN FORM
TO CFAJ

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