CFA Society of St. Louis
Student Membership

Benefits:
1. Student members may attend **three** CFA luncheons and events at the full-member/affiliate member rate (free) and attend unlimited luncheons and events at a discounted rate of $20 per event.
2. Student membership allows you the opportunity to listen to renowned experts from across the U.S. discuss current topics that are in the forefront of the investment industry.
3. Student membership gives you the opportunity to meet and network with potential employers. The CFA Society of St. Louis is made up of more than 600 members, representing over 150 different firms in the St. Louis area.
4. Membership runs from July 1 to June 30.

Requirements:
1. Applicant must be a full-time undergraduate or graduate student at an accredited academic institution. Please provide documentation from the registrar.
2. Provide two sponsor signatures (one signature from a member of the CFA Society of St. Louis and the other from a professor of the academic institution in which the student attends.)
3. Agree to sign and adhere to the Members Agreement and Professional Conduct Statement (see attached.)
4. Please send documentation and a $100 check (payable to CFA Society of St. Louis) to:

   CFA Society of St. Louis, Phone: 314.569.0218
   330 Wenneker Drive, St. Louis, MO, 63124
   Joan_Hecker@sbcglobal.net

5. Applicant Name: _____________________________________________________________
6. Applicant Signature: __________________________________________________________
7. Applicant Address: _____________________________________________________________
8. Applicant Telephone Number: _________________________________________________
9. Applicant E-mail Address: _____________________________________________________
10. Applicant Major and Expected Graduation Date: ________________________________

   ____________________________________________________________
   Professor’s Signature                           Regular Member’s Signature
   ____________________________________________________________
   Professor’s Name and Title                       Regular Member’s Name
   ____________________________________________________________
   Professor’s Email Address                        Regular Member’s Email Address
   ____________________________________________________________
   Professor’s Phone Number                        Regular Member’s Phone Number
CFA INSTITUTE
PROFESSIONAL CONDUCT STATEMENT

Answer the following questions by marking the appropriate response for each. Any matter described in the questions below must be disclosed, even if the matter is still pending.

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?

☐ No
☐ Yes, matter not previously disclosed to CFA Institute
☐ Yes, matter currently under investigation by CFA Institute
☐ Yes, matter previously investigated by CFA Institute; review concluded

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?

☐ No
☐ Yes, matter not previously disclosed to CFA Institute
☐ Yes, matter currently under investigation by CFA Institute
☐ Yes, matter previously investigated by CFA Institute; review concluded

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.)?

☐ No
☐ Yes, matter not previously disclosed to CFA Institute
☐ Yes, matter currently under investigation by CFA Institute
☐ Yes, matter previously investigated by CFA Institute; review concluded

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?

☐ No
☐ Yes, matter not previously disclosed to CFA Institute
☐ Yes, matter currently under investigation by CFA Institute
☐ Yes, matter previously investigated by CFA Institute; review concluded

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?

☐ No
☐ Yes, matter not previously disclosed to CFA Institute
☐ Yes, matter currently under investigation by CFA Institute
☐ Yes, matter previously investigated by CFA Institute; review concluded

I have read, understand, and agree to comply with the CFA Institute Code of Ethics, Standards of Professional Conduct, Bylaws, and Rules of Procedure for Professional Conduct and other rules and regulations established by CFA Institute 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 Institute 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 Institute investigation of my conduct is grounds for summary suspension.

_____ Yes

Printed Name: __________________________________________
Signature: ____________________________________________ Date: ____________________________________________