



## CFA SOCIETY CLEVELAND: NOT JUST FOR CFA CHARTERHOLDERS

Dear Potential Member,

Thank you for your interest in joining CFA Society Cleveland. As a member society of the CFA Institute, CFA Society Cleveland seeks to provide opportunities for professional development and fellowship among Cleveland-area investment professionals, consistent with the ideals of excellence, integrity and education as set forth by the CFA Institute. We promote the highest standard of ethics, education, and professional excellence with the intention of helping build an investment industry that serves the interests of investors and the ultimate benefit of society.

**Membership in CFA Society Cleveland is not limited to CFA Charterholders.** Our *Local Society Membership* is intended to make our Society more accessible to local investment, capital market, and finance professionals who have no intention of pursuing the CFA Charter, yet believe in the mission and vision of CFA Society Cleveland and are interested in the benefits of membership in our vibrant and widely recognized Society.

Members of CFA Society Cleveland benefit by being a part of an organization committed to professional excellence and financial market integrity, impactful local professional development opportunities such as educational programs and influential programming, providing networking opportunities with industry insiders, and providing venues to stay abreast of trends that affect the industry.

Inside this packet, you'll find a CFA Society Cleveland fact sheet, membership application, and Professional Conduct Statement. In order to be considered for membership, please complete the membership application, attest to the PCS, and return to CFA Society Cleveland with your form of payment. Upon receipt of all required materials, you'll be granted membership pending approval and can begin to enjoy the benefits of CFA Society Cleveland membership. Official memberships are granted on a monthly basis after a review and approval of your application. You will be made aware of the Board of CFA Society Cleveland's decision within five weeks. After membership is granted, and as long as you remain a member in good standing, annual renewals will only require dues payment and an updated PCS.

If you should have any questions regarding membership, the application, or the status of your application, please contact CFA Society Cleveland Membership Chair at [cfa@cleveland.cfasociety.org](mailto:cfa@cleveland.cfasociety.org) or call 216-696-8066. We're happy you're considering membership in our Society and looking forward to you joining.

Sincerely,

Michael McKeown, CFA  
CFA President  
CFA Society Cleveland



## **GUIDE FOR COMPLETING CFA SOCIETY CLEVELAND LOCAL MEMBERSHIP APPLICATION**

Thank you for your interest in joining CFA Society Cleveland. This packet contains all the paperwork necessary for Local Society Membership.

CFA Society Cleveland accepts applications on an annual basis. CFA Society Cleveland's membership year runs on a 12-month cycle beginning the most recent July 1st and ending the 30th of the following June. Dues are \$150 for non-candidates and \$125 for candidates annually and are not prorated. Student (non-voting) memberships are also available and dues are \$100 annually. Membership is granted provisionally the day the completed application is received and officially activated the day the application is processed by CFA Society Cleveland's Board.

### **PLEASE READ ALL DIRECTIONS CAREFULLY**

1. You may submit your application packet via mail, or email and pay the required dues fee via check or credit card (Visa, MasterCard, or American Express). You will be invoiced for dues after your application is approved. Before submitting, make a copy of your completed paperwork for your records. Your application will not be processed unless complete.

**Please make sure that you enclose the following to avoid delays in the application process:**

CFA Society Cleveland Membership Application  
CFA Society Cleveland Professional Conduct Statement  
Payment

**Send the completed and signed forms with payment (check or credit card information) for dues and fees to:**

**Attention: Membership  
CFA Society Cleveland  
24199 Lyman Blvd.  
Shaker Heights, Ohio 44122**

**Or email to [cfa@cleveland.cfasociety.org](mailto:cfa@cleveland.cfasociety.org)**

2. You must have two professional references listed on your application: one of those references must be a supervisor or manager and the other must be a CFA Charterholder. We may contact your references to validate your business relationship and ethics.
3. CFA Society Cleveland processes Local Society Membership applications on a monthly basis. Once approved, you will receive a welcome email notifying you of acceptance.
4. CFA Society Cleveland's Professional Conduct Statement must be signed when joining and also when renewing.

### **NEED HELP?**

If you have any questions concerning the application requirements or process, email [cfa@cleveland.cfasociety.org](mailto:cfa@cleveland.cfasociety.org) or call 216-696-8066.



## LOCAL MEMBERSHIP APPLICATION

Local society members have access to the same benefits as regular members except for voting privileges. The Local Society Membership is solely a CFA Society Cleveland 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.

**APPLICATION TYPE:**      **NON-CANDIDATE**      **CANDIDATE**      **STUDENT**

Title: \_\_\_\_\_ First: \_\_\_\_\_ Last: \_\_\_\_\_

Professional Designations Held \_\_\_\_\_

### 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: \_\_\_\_\_

### SOCIAL MEDIA:

Linked In: \_\_\_\_\_ Twitter: \_\_\_\_\_ Facebook: \_\_\_\_\_

### 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 Cleveland 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.

Please electronically sign this document by typing your name and date below:

Electronic Signature (Type Name): \_\_\_\_\_ Date: \_\_\_\_\_



## LOCAL 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 preferably a member of CFA Society Cleveland. If you are applying for a student membership, a college professor is an acceptable professional reference. Please ensure that the listed reference is aware that CFA Society Cleveland will be contacting him/her to validate your business relationship and ethics.

#### Reference #1 (Professional Reference)

Name:

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Company:

Title:

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Email:

Phone:

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How do you know this person:

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#### Reference #2 (CFA Charterholder)

Name:

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Company:

Title:

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Email:

Phone:

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How do you know this person:

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### PAYMENT

Membership Dues will be invoiced when the application is approved



## CFA SOCIETY CLEVELAND 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 Cleveland's 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 Cleveland Bylaws, and Rules of Procedure for Professional Conduct and other rules and regulations established by CFA Institute and CFA Society Cleveland 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 Cleveland 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 Cleveland investigation of my conduct is grounds for summary suspension.

Yes

**Please electronically sign this document by typing your name and date below:**

Electronic Signature (Type Name):

Date:

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