



LOCAL MEMBERSHIP GUIDE

Thank you for your interest in joining the CFA Society of Rochester, a member society of the CFA Institute. Our mission is to deliver educational programming, strengthen member involvement, and promote the Chartered Financial Analyst (CFA) designation for the benefit of financial services professionals in the Greater Rochester and Central New York area.

CFA Society of Rochester partners with the CFA Institute in fulfilling the Institute's mission to lead the investment profession globally by promoting the highest standards of ethics and professional excellence for the ultimate benefit of society.

MEMBERSHIP BENEFITS

CFA Society of Rochester Local Membership is intended to make the Society's offerings available to local financial services professionals and non-financial community participants who do not intend to pursue the CFA Charter or do not wish to join the CFA Institute but subscribe to the Society's mission and are interested in the benefits associated with its regular membership.

Local members, just as their regular counterparts, benefit by being a part of an organization committed to professional excellence and financial market integrity and offering local and regional professional and educational opportunities, including speaker series and networking with industry leaders. Local and regular members enjoy discounted admission to the Society's programming and networking events, as well as access to community service and volunteering opportunities.

CFA Society of Rochester Local Membership is non-voting and runs on a yearly basis from July 1st through June 30th of the following year. Annual dues are \$60.00 (prorated 50% if applied between December 1st and March 1st).

APPLICATION PROCESS

1. In order to be considered for Local Membership, please complete the following application and sign the attached Professional Conduct Statement. We request that you include one professional reference in your application—a supervisor, colleague, or professor who may or may not be a CFA Charterholder. We may contact the reference you provide as part of the application process.
2. Attach a check for \$60.00 (or \$30 if prorated) and mail the package to the following address by the June 30th deadline. If You also have an option to pay via PayPal (see below).

CFA Society of Rochester
Attn: Membership
P.O. Box 390
Pittsford, New York 14534

3. We will notify the applicant of their status via email within 30 days of receiving the application. Upon approval, we will cash the check (or bill the applicant separately if he or she elects to pay via PayPal—search PayPal for info@cfarochester.org) and welcome the new member to our Society.

Thank you again for your interest in our Society, and we look forward to hearing from you.

HAVE QUESTIONS OR NEED HELP? Please contact us at info@cfarochester.org



LOCAL MEMBERSHIP APPLICATION

This application is for CFA Society of Rochester Local Membership only. The Local Membership is designed for individuals who do not intend to pursue the CFA Charter or do not wish to join the CFA Institute. To join the CFA Institute please visit <https://www.cfainstitute.org>.

APPLICANT STATUS: CFA Candidate Non-CFA Candidate Student

Mr./Mrs./Ms.: First: MI: Last: _____

EMPLOYER INFORMATION:

Employer: _____ Job Title: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Email: _____

HOME INFORMATION:

Street Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Email: _____

EDUCATION:

Highest Degree Completed: _____ Year: _____

Institution: _____

REFERENCE:

Name: _____ Employer: _____ Local CFA Society Affiliation (if any): _____

Phone: _____ Email: _____ Relationship: _____

PAYMENT PREFERENCE: Check PayPal

PROFESSIONAL CONDUCT STATEMENT

This statement must be signed and submitted with the membership application and upon each annual membership renewal and payment of Local Membership dues.

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 the CFA Society of Rochester.

- 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 and Standards of Professional Conduct (see attached below) and other rules and regulations established by CFA Institute and the CFA Society of Rochester as amended from time to time.

Yes

I certify that the above responses and all information provided by me in this Application and Professional Conduct Statement are truthful, accurate, and complete, and I agree to notify CFA Society of Rochester 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 Rochester investigation of my conduct is grounds for summary suspension.

Yes

Signature: _____

Date: _____