



Adjunct Membership Instructions

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Adjunct Membership

CFAP membership provides the knowledge, recognition and industry network that you need to position yourself for career growth. Every CFAP member service is designed to meet the specific needs of investment professionals. From luncheons and educational workshops, Professional Conduct and Advocacy programs, to the job letter and the CFAP website, membership in the CFAP offers access to services and networking on a local level.

In addition, CFAP offers many types of membership, including Regular, Affiliate, Adjunct, and Retired Members. All CFA Charterholders, Regular, Affiliate, and Retired Members of CFAP must also be members of AIMR. The Adjunct Member is only a member of FAP and has all the rights and privileges of Affiliate Members. Both Adjunct and Affiliate Members have all the privileges of Regular Members except the right to vote, hold office in the Society, and act as sponsors for membership.

If you have no intention of becoming a Regular, Affiliate or CFA Charterholder Member of AIMR, Adjunct Membership may be appropriate for you.

To become an Adjunct Member an individual must be engaged in an acceptable field of work or study as determined by the FAP Board or the Membership Committee and satisfy such other requirements as the CFAP Board may impose from time to time.

Steps for becoming a CFAP Adjunct Member

There are four steps involved in becoming an Adjunct Member:

- 1) Complete the CFAP Adjunct Membership Application, Professional Conduct Statement and two (2) Sponsor Forms. Sponsors must be Regular Members of CFAP.
- 2) Indicate on the application whether or not you have successfully passed the CFA Level I exam. If you have not, you must take the enclosed AIMR Self-Administered Standards of Practice Examination (Ethics Exam) being careful to follow AIMR's instructions. (Taking this exam does not make you a member of AIMR.)
- 3) Attach a resume, bio, description of work experience and/or evidence of professional organization membership/credential.
- 4) Submit the completed CFAP Adjunct Membership Application, Professional Conduct Statement, two (2) Sponsor forms, proof of passing either CFA Level I exam or the Ethics Exam from AIMR and a resume, bio, description of work experience and/or evidence of professional organization membership/credential, along with your \$100 dues to the above address.

Application

Incomplete applications will not be processed and will be returned to the applicant.

Please make a copy of your application for your records before submitting it to CFAP for processing.

Dues

FAP dues are billed and collected on an annual basis from July 1 – June 30. The dues for Adjunct Members are \$100 annually. Please enclose a check with your application made payable to CFA Society of Philadelphia.

Adjunct Membership Application

(Please Print Legibly)

Side Two Please complete both sides of this form.

Personal Information

Are you a CFA Candidate? Yes No

Have you passed Level I? Yes No

Candidate # _____

Level (circle one) 1 2 3

Professional Designations (check all that apply)

Certified Public Accountant (CPA)

Chartered Investment Counselor (CIC)

Chartered Accountant (CA)

Certified Management Accountant (CMA)

Certified Financial Planner (CFP)

Other (please specify) _____

Education

Name of College/University attended

Highest degree received

Work History

Current Employer (If student, school)

Dates: From

To

Job description or course of study

Prior Employer (If student, school)

Dates: From

To

Job description or course of study

Sponsors (must be regular members)

Sponsor 1

Employer

Sponsor 2

Employer



Professional Conduct Statement

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Professional Conduct

Answer the following five questions by circling either yes or no at the end of each question. Note that any matter described in the following questions must be disclosed, even if the matter is still pending.

In the last five years, have you been:

- A. The subject of, a defendant in, or a 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? **Yes / No**
- B. The subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity? **Yes / No**
- 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? **Yes / No**
- 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 hereunder? **Yes / No**
- 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? **Yes / No**

If you answered yes to any of the above, please explain:

Member's Agreement

I have read, understand, and agree to comply with the CFA Society of Philadelphia (CFAP) Articles of Incorporation, Bylaws, AIMR Code of Ethics, Standards of Professional Conduct, Rules of Procedure from Proceedings Related to Professional Conduct, and other rules and regulations established by AIMR, as amended from time to time. I understand that I will be subject to suspension or revocation of FAP membership for violation of AIMR's Rules and Regulations.

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 FAP of any material changes to my response to the forgoing statements.

Signature

Date

Print Name

