



**CFA Society
Austin**

CFA SOCIETY AUSTIN: NOT JUST FOR CFA CHARTERHOLDERS

Dear Potential Member,

Thank you for your interest in joining CFA Society Austin. As a member society of the CFA Institute, CFA Society Austin seeks to provide opportunities for professional development and fellowship among Austin-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 Austin 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 Austin and are interested in the benefits of membership in our vibrant and widely recognized Society.

Members of CFA Society Austin 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 Austin 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 Austin 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 Austin 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 Austin'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 Austin Membership Chair at membership@cfaaustin.org or call 713-375-2707. We're happy you're considering membership in our Society and looking forward to you joining.

Sincerely,

Matt Jachimiak, CFA
CFA President
CFA Society Austin



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Austin**

GUIDE FOR COMPLETING CFA SOCIETY AUSTIN LOCAL MEMBERSHIP APPLICATION

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

CFA Society Austin accepts applications on an annual basis. CFA Society Austin'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 \$50 annually. Membership is granted provisionally the day the completed application is received and officially activated the day the application is processed by CFA Society Austin'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 Austin Membership Application

CFA Society Austin 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 Austin
10401 Westoffice Drive
Houston, TX 77042**

Or email to admin@cfaaustin.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 Austin processes Local Society Membership applications on a monthly basis. Once approved, you will receive a welcome email notifying you of acceptance.
4. CFA Society Austin'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 admin@cfaaustin.org or call 713-375-2707.

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 Austin 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 Austin Articles of Incorporation, Bylaws, CFA Institute Code of Ethics, Standards of Professional Conduct, and 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 Austin. 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 Austin will be contacting him/her to validate your business relationship and ethics.

Reference #1 (Professional Reference)

Name: _____

Company: _____

Title: _____

Email: _____

Phone: _____

How do you know this person: _____

Reference #2 (CFA Charterholder)

Name: _____

Company: _____

Title: _____

Email: _____

Phone: _____

How do you know this person: _____

PAYMENT

Membership Dues will be invoiced when the application is approved

CFA SOCIETY AUSTIN 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 Austin’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 Austin Bylaws, and Rules of Procedure for Professional Conduct and other rules and regulations established by CFA Institute and CFA Society Austin 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 Austin 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 Austin 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:
