

# CHARTERED INSTITUTE OF STOCKBROKERS

(Chartered by Act 105 of 1992)



## APPLICATION FORM

for

## Associate Membership

SURNAME (BLOCK LETTERS)	INITIALS
MAILING ADDRESS	
CONTACT TELEPHONE NUMBER	

PLEASE READ THE NOTE INSIDE BEFORE COMPLETING THE FORM

**NOTE:**

1. All questions must be answered.
2. Please print answers or type in block letters.
3. A candidate must have two referees, who are full members of the institute (Fellow/Associate). The processing of application may be delayed for non-compliance with this provision or if referee(s) have not paid their current annual subscription/dues.
4. Photocopies of professional and academic qualifications claimed as well as a detailed curriculum vitae must be attached to the application.
5. Letter of attestation from present and previous employers signed by the chief Executive of the firms, stating your position, date of employment and schedule of duties must be submitted in support of the application.
6. All documents attached in support of the application must be duly certified as true copies of the original documents by one of the referees. The referee certifying the documents must quote his membership number immediately after his signature and affix his membership seal.
7. Three passport photographs duly endorsed by one of the referees must be submitted with the completed application form. The three colour passport photographs must have white background.
8. Members, when admitted, are required to abide by the institute's ethical code, a summary of which follows:
  - Your word must be your bond.
  - Act honestly and in good faith and exercise independence in making professional judgements.
  - Carry out your work to the highest professional and technical standards expected of a Chartered Stockbroker.
  - Ensure that you are, and remain, competent to carry out all aspects of your professional duties.
  - Obey the rules and regulations of the competent authorities, following the spirit as well as the letter of the law.
9. Please sign within the "specimen signature" boxes provided below:

<b>SPECIMEN SIGNATURE</b>
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10. Completed application form and fees should be sent to:

**The Registrar & chief Executive**

Chartered Institute of Stockbrokers

71, Raymond Njoku Street,

Off Awolowo Road, South West Ikoyi, Lagos.

P.O. Box 9938, Marina, Lagos.

Telephone: +234(0)7046340842, +234(0)7065843682

+234(0)8181869607

E-mail: [info@cisinigeria.com](mailto:info@cisinigeria.com)

Website: [www.cisinigeria.com](http://www.cisinigeria.com)

**1. Full Name of Applicant:**

(i) Surname:.....Title:.....  
(IN BLOCK LETTERS)

(ii) Other Names:.....  
(IN BLOCK LETTERS)

(iii) Former Names if any:.....

**2. Current Employment Details:**

(i) Name of Firm:.....

(ii) Nature of Business:.....

(iii) Address:.....

.....Telephone Number.....

(iv) Fax:.....Email:.....

(v) Position Held:.....

**3. Residential Address:**.....

.....Telephone Number.....

**4. Date of Birth:**.....**Age:**.....

**5. Nationality:**.....

**6. Academic Qualifications with Dates**.....

.....

**7. Institutions Attended with Dates**

(i) Secondary:.....

(ii) University/Polytechnic:.....

**8. Date of completing CIS or NSE Examination**.....

**9. Other Professional Qualifications with Dates**.....

**10. Honours and Decorations**.....

**11. Career History:-**  
Please provide a statement of your career starting with the most current to the first employment since leaving full time education and give an explanation if there are any significant gaps in your employment during this period

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[illegible]

12. Reputation and Character

Yes/No

- (i) Have you ever been convicted of any offence involving fraud or other dishonesty or any criminal offence in Nigeria or elsewhere? ☐
- (ii) Have you at any time been declared bankrupt or had your estate sequestrated, or are you currently the subject of bankruptcy proceedings? Are you aware of any such proceedings pending? ☐
- (iii) Have you at any time entered into a deed of arrangement in favour of your creditors, or other composition or arrangement with creditors, or failed to satisfy a judgement debt? ☐
- (iv) Have you at any time resigned from, been refused or had revoked membership of any association of dealers in securities or any Stock Exchange? ☐
- (v) Have you or your employer been publicly censored or disciplined by a regulatory authority in relation to your business or professional activities? ☐
- (vi) Have you been refused entry to any profession or vocation or been dismissed or requested to resign from any office or employment, or from any fiduciary office or position of trust, whether or not remunerated? ☐
- (vii) Have you ever knowingly been the subject of an investigation into allegations of misconduct or malpractice in connection with investment business? ☐

**NOTE:** If your answer to any of the seven questions above is yes use additional sheet to provide detailed explanations. ☐

13. Declaration

- ☐ All candidates must notify the Institute immediately of any significant changes in the information provided in this application form which occur after the date of submission of the application and prior to receiving notification of the Institute's decision thereon.
- ☐ Misleading or attempting to mislead the Institute on any point will be deemed an act of misconduct and may render the candidate, if admitted, liable to disciplinary proceedings.
- ☐ "I hereby apply for admission to membership of the Institute as a Graduate Member/Associate. I declare that the information I have supplied is complete and correct. In consideration of my being admitted to Membership I agree that I will comply with and be bound by the Institute's Act No. 105 of 1992 and by the rules and regulations in force at the time of my application and subsequent rules and regulations which may thereafter from time to time be made by the Council of the Institute"

Date:.....

Signature.....

14. Referees:

We, the undersigned members of the Institute recommend the above applicant for admission as an Associate of the Institute and certify that, to the best of our knowledge the experience and character of the applicant are such that we consider him/her fit for membership of the Institute.

(1) Name:.....

Firm:.....

Status(Fellow/Associates):.....

Signature:.....

Membership Number:.....

Date:.....

Membership  
Seal

(2) Name:.....

Firm:.....

Status (Fellow/Associates):.....

Signature:.....

Membership Number.....

Date:.....

Membership  
Seal

**ADDITIONAL INFORMATION**

- Item 4: The cost of Membership SEAL and PLAQUE had been reviewed to N10,000 each.

- Item 12 (viii), Have you ever attended any of the Institute's Annual Conference?

YES

☐

No

☐

Note: if your response to the question above is YES, kindly use additional sheet to provide detailed explanation.

**FOR OFFICE USE ONLY**

Date Application received:.....

Application:

Accepted

☐

Rejected

☐

Reason for rejection:.....

Membership Number.....

Date of election as a Fellow.....

Signature.....

Date.....