

Professional Financial Adviser (PFA) Application Form

Accurate completion of all relevant sections of this form will ensure the swift processing of your application. Please take a moment to ensure you have completed all the required information before submitting.

To receive a Statement of Professional Standing (SPS) from our Institute you must apply for and renew your professional membership with us every year. The steps you have, and continue to take, ensure the positive reputation and good standing of the retail investment advice profession in the UK. Together, we have a duty of care to demonstrate your ongoing commitment to all the applicable rules and regulations, as well as your personal commitment to our professional Code of Conduct. This means that you need to:

- maintain a record of relevant continuing professional development [CPD]
- pay your membership renewal annual fee; and
- complete a professional declaration.

Section 1 – Personal Details (all fields are mandatory and must be completed)

Forename(s) _____ Surname _____
Date of Birth _____ Institute Membership Number _____
Firm's FCA Reference Number (FRN) _____
FCA Individual Reference Number (if applicable) _____

Section 2 – Professional Declaration

I understand and confirm that:

- by making an application for membership, I agree to be bound by the Rules and Regulations of the Chartered Banker Institute, including the Code of Professional Conduct;
- I have complied with the FCA Conduct rules (COCON) **OR** as an Appointed Representative have complied with the FCA's Statements of Principle for Approved Persons (APER);
- I will meet the professional standards of the Institute, and will complete and record the required programme of Continuing Professional Development (CPD) and will continue to do so in the future;
- I am not currently undergoing any investigation or disciplinary procedures conducted by an employer, regulator, professional body or similar;
- I agree to pay the appropriate membership application fee and understand that I will not receive my SPS certificate until I have made arrangements to do so.

The information I have provided below is true to the best of my knowledge and belief.

Signed _____ Date _____

Section 3 – Data Protection

The Chartered Banker Institute aims to maintain all personal records accurately and securely to a reasonable standard.

We will use the information you have provided to process your application for PFA status and to provide ongoing services. Full details of the Institute's Privacy Policy are available on our website at <https://www.charteredbanker.com/the-institute/privacy-policy.html>

Information relating to your application for a Statement of Professional Standing and your ongoing membership of our Institute may be shared with other Accredited Bodies, the appropriate regulator[s] and/or your employer.

You can amend your details by logging into our website (www.charteredbanker.com) and selecting 'Update Details' in the *My Member Area*.

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Section 4a – Employment Status (See Important Note below)

To help us understand which part of the FCA regime applies to you, please tick the appropriate descriptor below:

- ☐ I am directly approved by the regulator under the Senior Managers Regime
- ☐ I am/will be approved by my firm, other organisation, under the Certification Regime*
- ☐ I am an Appointed Representative.

* From time to time we may need to contact your employer with regard to your application for PFA status. Please provide details of an appropriate person at your firm e.g. the HR or Compliance Manager or a Senior Manager or Director of your firm.

Name: _____

Role [e.g. HR, Compliance, Senior Manager, Director]: _____

Contact Email: _____

IMPORTANT NOTE

Senior Managers [i.e. those holding a Senior Management Function or SMF] **are directly approved by the FCA.** This means that their fitness and propriety is assessed and directly approved by the FCA. We can verify your status using the FCA Register and your Firm's FCA Reference Number [FRN] and your Individual Reference Number [IRN].

Self-employed [FCA approved on the FCA Register] If you are a Director of an FCA solo regulated firm and **directly approved by the FCA** you will not be asked for employer confirmation of your fitness and propriety when applying for your SPS. We will verify your regulatory status using the FCA Register. We recommend that you also refer to the register to ensure that your current details are accurate.

Adviser under the Certification regime [Firm Approved] is someone employed by the firm and do not hold a SMF. If you are not directly approved by the FCA this applies to you. We will verify your regulatory status using the FCA Register. We recommend that you also refer to the register to ensure that your current details are accurate.

Appointed Representatives currently sit outside the SMCR but must adhere to the principles set out under the FCA's Statements of Principle for Approved Persons (APER). For clarity, an appointed representative (AR) is a firm or person who runs regulated activities and acts as an agent for a firm [the 'principal'] directly authorised by the FCA. As such, we will use your FRN and IRN to verify your regulatory status.

Section 4b – Pensions Transfer Specialist

- ☐ I am a Pension Transfer Specialist.

Note: Pension Transfer Specialists are required to complete a minimum of 15 hours CPD each year, focused specifically on pension transfer advice. Of this requirement, 9 hours must be structured professional development activities; and at least 5 hours provided by an external independent provider. This is in addition to any other existing CPD requirements that you may need to meet for other types of advice.

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Section 5 – Contact Details

Job Title _____ Network Affiliations _____

Employer (Firm) _____

Work Address _____

Postcode _____ Contact Phone No. _____

Work Email Address _____

Home Address _____

Postcode _____ Contact Phone No. _____

Home Email Address _____

Preferred Postal Mailing Address (Please indicate by writing 'Work' or 'Home') _____

Section 6 – Payment Details

Please tick the appropriate box below.

☐ I will continue to pay by Direct Debit ☐ I have set up a new Direct Debit ☐ I will make payment online

To set up a new Direct Debit or to pay the £132 membership fee online, please follow these steps:

- 'login' to our website and click 'My Member Area' at the top right-hand side of the screen
- from the drop-down menu select 'My Subscriptions', which will show you information on your membership subscription
- select a payment option.

Please note:

- If you have FCBI, MCBI or ACBI status, a £60 supplement in addition to your standard membership fee will be payable.
- Due to new processes introduced in response to the Covid-19 pandemic, we are no longer able to accept payment by cheque.