

Application for Chartered Financial Planner status

Personal Finance Society 42–48 High Road, South Woodford, London E18 2JP
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Please read the notes below, complete this application form in BLOCK CAPITALS, and post to PFS, Customer Service 42-48 High Road, South Woodford, London E18 2JP or fax +44 (0)20 8530 3052.



Application for authorisation to use a Chartered title

Section A – Personal details

(Please complete all fields – it is essential we have your email address as this is our main channel of contact with you)

Please give your PFS permanent identity number (PIN) if known PIN

Mr/Mrs/Miss/Ms Surname

Forenames Date of birth

Daytime tel Mobile

email

Employer name

Job title

Work address

Postcode Country

Home address

Postcode Country

Address to be used for correspondence Home Work

If you are registered with the FSA, please enter your FSA Individual Reference Number (IRN) IRN

Please tick one box per category

Type of organisation

- Financial adviser Independent financial adviser Financial adviser – Network Independent financial adviser – Network Insurance company/Product provider
- Bank/Building Society Mortgage broker Investment/Fund manager Accountant Other

Area of work

- Advising clients Actuarial Claims Paraplanning Operations
- Administration/Processing HR/Training Compliance/Regulation Finance Business Development
- Technical Marketing Other

Job category

- Trainee Technician/Co-ordinator Supervisory/Controller Middle management (Branch, Office, Dept) Senior management (General, Head of)
- Board member (CEO, Director) Business owner Other

Area(s) of specialism

- Tax Financial protection Pensions Investments Estate planning
- Retirement planning Equity release Long term care Group risk Securities/Derivatives
- Discretionary investment management Mortgages

Section B – Declarations

Having been accepted as a member of the Personal Finance Society (PFS), I agree to abide by the PFS Articles of Association and Bye-Laws including the commitment to pay £1 in the event of the Society being wound up and there being a shortfall in assets.

PFS members automatically become members of the Chartered Insurance Institute (CII). As a member of the CII, I agree, to abide by: CII's Charter and Bye-laws; CII's Code of Ethics; all CII's rules and regulations; the constitution and bye-laws of any local institute of which I am a member and the CII's Continuing Professional Development scheme (only applicable to qualified members) I acknowledge that failure to provide CPD records on request shall prevent my membership being renewed.

Please tick the relevant box to confirm whether you have:

- Been made bankrupt or been subject to an individual voluntary arrangement (or similar procedure). Yes No
- Been convicted for (or have you been charged but not yet tried with) any offence other than a monetary fixed penalty for a motoring offence. Please note, if the conviction is considered spent under the Rehabilitation of Offenders Act you should select 'no'. Yes No
- Been subject to any disciplinary sanctions (or are currently the subject of any investigation) by the CII or any other professional and/or membership body or regulatory authority. Yes No

If you have answered 'yes' to any of these questions, please also provide any relevant details on a separate sheet of paper

Please note that, as a member of the PFS/CII, you are required to let us know if and when, at any point in the future, your circumstances are such that you would have to answer 'yes' to any of the above.

Data protection and privacy

The PFS/CII is registered under the Data Protection Act 1998 and will ensure that in providing products and services to you it (and its business associates) will process your personal data fairly. By submitting this application, I consent to the PFS/CII processing my data. Full details are included in the CII Data Protection and Privacy statement which is available on the CII's website.

I consent to my name appearing within a searchable database of members which includes an option to view Chartered members unless I tick the following box.

Signed

Privacy and electronic communications regulations

We may from time to time wish to draw your attention to other PFS/CII products and services electronically which are likely to be of interest to you. The PFS/CII will assume you consent to us using your data in this way unless you tick the following box.

Sharing your data with third parties

The PFS/CII will never sell your data to third parties for commercial gain.

We may however share your data with third parties who provide products and services that complement those offered by the PFS/CII. The PFS/CII will assume that you consent to us using your data in this way, unless you tick the following box.

Your right to cancel

In accordance with The Consumer Protection (Distance Selling) Regulations 2000 you have a right of cancellation in respect of these products and services. This right shall (subject to the Regulations) expire seven working days from the day after the date on which either the products are received by you or your order for services is accepted by the CII. Should you wish to cancel, notice should be sent to Customer Service. Where products have been supplied to you prior to cancellation they must be returned to us, in the condition in which they were supplied at your expense. Reimbursement for any monies paid by you for the product or service will be made within 30 days of receiving notice of cancellation or, if products are returned to us within 30 days of their receipt.

You must answer the questions of this form truthfully, including the declarations you make. Any information you provide which is misleading or untrue may result in your membership being cancelled. It may also lead to disciplinary or criminal proceedings.

If there are any questions or any parts of the declarations on this form which you do not understand you can refer to the CII website www.cii.co.uk/explanatory notes although the CII does not accept any liability for information or clarification given.

Chartered title requirements

- I confirm that I understand and will abide by the regulations for the use of Chartered title requirements (Section C).
- I confirm that, if at any time I cease to be a member of the PFS I will return any certificate of membership to the PFS.

Date

Section C – Notes

1. General regulations for the use of Chartered titles

Fellows and Associates of the CII group can apply provided they:

- (a) have applied for a descriptive title that applies to their occupation, and
- (b) have five years professional experience in the industry (not necessarily post-qualification) of a kind satisfactory to the Institute, and
- (c) in their examinations have passed such combination of subjects as may be specified from time to time by the PFS or approved in any individual case by the PFS, and
- (d) are up to date with the Continuing Professional Development (CPD) requirements in accordance with CII rules.

Chartered title holders should only use the title in an individual capacity. It should not be used in a manner applying to firms, partnerships or corporate bodies. The titles must be used in full without abbreviation.

Fellows and Associates whose applications are approved will be issued with a certificate of entitlement. Any Chartered title holder holding such a certificate whose occupation or employment changes so as to cause them to cease to be eligible shall notify the PFS and return their certificate. Such notification shall not be required in the event of a temporary period of unemployment. The PFS may, at its discretion, issue an appropriate new certificate, or might require further details or a renewed application for this purpose.

2. Specific regulations for use of Chartered Financial Planner

An individual will need to:

- hold the Financial Planning Certificate or equivalent.
- hold a minimum of 290 qualification credits which must include a completion of the Advanced Diploma in Financial Planning.

3. Notes for applicants to Chartered status

- This Chartered title is available exclusively to members who have reached PFS Associate or Fellowship level.
- Their use is conditional on due application to, and authorisation by, the PFS.
- The annual memberships for Chartered Financial Planner title is payable at your next renewal. For information on fees please see www.thepfs.org/membershipfees
- Five years professional experience must include at least three years employed full-time in the industry. For the purposes of this application, employment can include self-employment or working on a consultancy, contractual or voluntary basis provided the employment is full-time and is in the industry relevant to the Chartered title for which the person is applying. Professional experience for the remaining two years can include being a full time student where the primary focus of the study relates to the Chartered title for which the applicant wishes to apply.