

# CISI Chartered Firm™ Application Form – Renewal

Please read the CISI Chartered Firm™ **Guidance** and complete all sections of this form.

Please review the copy of your original application form to ensure that the information is still correct. If you have not been provided with a copy of your form, please email [charteredfirms@cisi.org](mailto:charteredfirms@cisi.org).

## 1. Eligibility criteria

Please tick to confirm the following eligibility criteria:

- Your firm is recognised and regulated by the FCA or relevant regulator.
- A minimum of one of your firm’s Board\* is a personally Chartered Member, Chartered Fellow or Chartered Fellow (Financial Planning) of the CISI.
- A minimum of 50% of employees in your firm’s core area of specialty are personally CISI Chartered Members, CISI Chartered Fellows or Chartered Fellows (Financial Planning).
- The entire Board\*, together with a minimum of 90% of your staff in your core area of specialty, are members of the CISI.
- Your firm actively encourages and supports its staff to progress through the CISI qualifications programme.
- Your firm has in place an appropriate professional development programme in line with CISI CPD requirements.
- Your firm has in place core values and business practices that align with the CISI Code of Conduct.
- Applications for CISI Chartered Firm™ status will not be accepted from applicants who fall within the following categories:
  - Sole traders
  - Limited liability companies which have one director only and fewer than three employees

Please tick to confirm that your firm is not in any of the categories above

**If you do not meet all of the above criteria, please attach the relevant information to support your renewal application when submitting it.**

\*Note: where the core area of speciality of the company or partnership is not Securities & Investment and a specialist division has been created for the purpose of managing this part of the business, the CISI may, at its discretion, recognise the management entity as equivalent to the Board.

## 2. Disciplinary history

Since the original application:

- a) Has your firm been subject to any disciplinary proceedings, including civil, criminal or disciplinary proceedings against it or its representatives? (tick one) Yes  No

Please provide details with your application if you have responded yes to this question.

- b) How many complaints (as defined by the FCA) were submitted over the past 12 months?

- c) Of the complaints submitted, how many were submitted to the Financial Ombudsman Service (or international equivalent) where a decision was upheld?

## 3. Data protection and privacy Supplementary information

Please confirm that you have attached copies of recent

- a) Evidence of a Vulnerable Customers policy (if applicable)
- b) Evidence of a Sustainability Policy
- c) Evidence of a Diversity & Inclusion Policy

## 4. Data protection and privacy

On renewing your CISI Chartered Firm™ status, you are agreeing for the CISI to publish the details and status of your firm on the CISI Chartered Firm™ webpage.

Our Privacy Policy and information on how we collect, and process data are available [here](#).

## 5. Terms and Conditions:

Please read and confirm you have read and agree to the **CISI Terms & Conditions** on behalf of your firm.

I confirm I have read and agree to the Terms and Conditions.

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## 6. Payment

A fee is payable by your firm to maintain the CISI Chartered Firm™ status annually upon renewal.

Firms with fewer than 50 employees yearly fee £ 500

Firms with 50 or more employees yearly fee £ 1,000

Date:  /  /

Print name:

Signed:

Job title:

Email address\*:

\*if your firm has an invoicing account, this email will be used for the finance contact, if your firm does not have an invoice account, a payment link will be sent to this email address.

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## 7. Agreement details

- Once this application is approved, CISI Chartered Firm™ status will be renewed from the first day of the following month.
- The annual fee will be published on the CISI website and reviewed on an annual basis.
- 6-8 weeks prior to your annual renewal your firm will be asked to review its original application and provide updates of any details that may have changed. The CISI may temporarily remove your firm from the register if payment is not received in a timely manner.
- You may only use the CISI Chartered Firm™ Logos and Marks associated with this status in accordance with the trademark and brand guidance published by the CISI.
- CISI may promote your firm through the CISI website.
- If your firm fails to maintain the standards associated with the CISI Chartered Firm™ status, the CISI may terminate the agreement immediately and at any point.

Signed on behalf of your firm by you, the Responsible Member

Name:

Signature:

Date:  /  /

## Office use only

Initial approval by:

Date:  /  /

Final approval by:

Date:  /  /