



SAIFM

South African Institute of Financial Markets

Building 18 | The Woodlands Office Park | Western Service Road | Woodmead
Postnet Suite 673 | Private Bag X29 | Gallo Manor | 2052
Tel: +27 11 802 4768 | Fax: +27 11 802 3476
VAT number: 4710148505
www.saifm.co.za | www.virtualexamcentre.co.za |
www.financialmarketsjournal.co.za

MEMBERSHIP APPLICATION FORM

Date Approved:	_____
Membership Number:	_____
Invoice Number:	_____
Date of Invoice:	_____
Certificate Posted:	_____

SECTION 1: PERSONAL INFORMATION

Title: _____

Surname: _____

Second Name: _____

Nationality: _____

Telephone number: _____

Cell number: _____

Physical Address: _____

Code: _____

Initials: _____

First Name: _____

Date of Birth (dd/mm/yyyy): _____

ID or Passport Number: _____

Fax number: _____

E- mail address: _____

Postal Address: _____

Code: _____

SECTION 2: CURRENT EMPLOYER INFORMATION

Company Name: _____

Physical Address: _____

Code: _____

Postal Address: _____

Code: _____

SECTION 3: GOOD REPUTATION AND CHARACTER

- Have you ever been convicted of any offence involving fraud, dishonesty or an offence under legislation (whether in the Republic of South Africa or overseas) relating to companies (including insider trading), exchanges, building societies, insurance, banks, investment management, insolvency, consumer credit or consumer protection?
Yes No
If yes give details: _____
- Have you had any convictions for any criminal offence other than the offences listed above or been subject to penalties for tax evasion?
Yes No
If yes give details: _____
- Have you at any time been declared insolvent or had your estate sequestrated, or are you currently the subject of insolvency proceedings of for the sequestration of your estate?
Yes No
If yes give details: _____
- Are you currently undergoing any investigation or disciplinary procedure?
Yes No
If yes give details: _____

5. Have you at any time entered into a trust deed in favour of your creditors, or other composition or arrangement with creditors, or failed to satisfy a judgement debt under a Court Order made in the Republic of South Africa or elsewhere within one year of the making of the order?
 Yes No
 If yes give details: _____
6. Have you at any time resigned from, been refused or had revoked membership of any association of dealers in financial instruments or of any exchange?
 Yes No
 If yes give details: _____
7. Have you at any time been refused or had withdrawn any authorization to carry on investment, banking or insurance business in countries outside of the Republic of South Africa?
 Yes No
 If yes give details: _____
7. Have you at any time been refused or had revoked membership of anybody or organization of which you have been, or have applied to be, a member?
 Yes No
 If yes give details: _____
8. Have you or your employer been publicly censured or disciplined in the Republic of South Africa or overseas by an organization or body in relation to your business or professional activities?
 Yes No
 If yes give details: _____
10. Have you been refused entry to any profession or vocation or been dismissed from any office or employment, or from any fiduciary office or position of trust, whether or not remunerated?
 Yes No
 If yes give details: _____
11. Have you at any time been refused the right or been restricted in the right to carry on any trade, business or profession for which a specific license, registration or other authority is required?
 Yes No
 If yes give details: _____
12. Have you ever been disqualified by a court from acting as a director of a company, or from acting in the management or conduct of the affairs of any company or other legal entity?
 Yes No
 If yes give details: _____
13. Have any organization of which you were at the time a director, manager, partner or member, been put into compulsory liquidation or had a liquidator appointed or entered into any arrangement with its creditors?
 Yes No
 If yes give details: _____
14. Have you been found liable in a civil court in the Republic of South Africa, or overseas, for fraud, wrongful trading or other misconduct?
 Yes No
 If yes give details: _____

SECTION 4: CODE OF CONDUCT ACKNOWLEDGMENT

1. I confirm having read and understood the code of Conduct of the South African Institute of Financial Markets (SAIFM) and undertake to abide by the words and spirit of the Code of Conduct of SAIFM.
2. I warrant that the information provided in the application form is true and correct and undertake to advise SAIFM should any of this information change.
3. I agree that SAIFM may make such enquiries relating to my career history and qualifications as it may deem fit to establish the correctness of the information supplied by me or to establish whether any information has been omitted and hereby authorise SAIFM to access information relating to my career history at any of my previous employers or to my qualifications at any tertiary institution locally or internationally.
4. I agree that my name will be removed from being a Member of SAIFM should I fail to abide by the provisions of this Acknowledgement or contravene the Code of Conduct of SAIFM or the Code of Conduct or rules of any association or institution who endorses this class of membership.
5. I agree to pay the annual membership fee as stipulated by SAIFM.

Name: _____

Signature: _____

Date: _____