



**THE INVESTMENT ANALYSTS SOCIETY OF SOUTHERN AFRICA
MEMBERSHIP APPLICATION FORM AND CODE OF PROFESSIONAL
CONDUCT**

Membership is open to individuals professionally employed by a registered company as investment advisors, analysts, portfolio managers, corporate finance etc, with a tertiary qualification. If no tertiary qualification then three years experience in the capacity as specified above is required.

Surname:	<input type="text"/>
First Name:	<input type="text"/>
Initials:	<input type="text"/>
Title:	<input type="text"/>
Date of Birth:	<input type="text"/>

Postal Address (Business):	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
Postal Code:	<input type="text"/>
Telephone No.:	<input type="text"/>
Fax No.:	<input type="text"/>
Cellular No.:	<input type="text"/>
E-Mail Address:	<input type="text"/>

Investment Analysis

Present Occupation:	<input type="text"/>
Name of Employer:	<input type="text"/>
Involvement in the field of investment: (Including previous employer)	
Activity:	<input type="text"/>
No. Of years experience:	<input type="text"/>
(Detail if less than 1 year at present employer)	
<input type="text"/>	



Previous Employer:

--

Academic Qualifications and other relevant course of study:

Professional Achievements:

State membership of other professional bodies:

Other data which will assist the committee in considering this application:

Name and phone numbers of two referees (they must be fully accredited members of the society)

Referee One

Name:

--

Phone No's:

--

I believe the applicant meets with the qualification and the criteria of the investment profession and society. **AS PER FIRST PARAGRAPH OF THIS APPLICATION FORM**

Signature: _____

Referee Two

Name:

Phone No's:

I believe the applicant meets with the qualification and the criteria of the investment profession and society. **AS PER FIRST PARAGRAPH OF THIS APPLICATION FORM**

Signature: _____

Have you ever been guilty of any offence of which dishonesty or fraud formed a part? If yes, please give full details

I hereby make application for membership to the Investment Analysts Society. If my application is successful I undertake to abide by the Society's Code of Professional Conduct.

APPLICANT'S SIGNATURE

DATE

Office Use Only

ANA	Analyst	
AM	Asset Management	
SB	Stock Broking	
JOUR	Journalist	
FD	Financial Director	
PE	Private Equity	
ANO		

CF	Corporate Finance	
TR	Treasury	
BNK	General Banking	
IR	Investor Relations	
CRED	Credit Analyst	
PC	Private Clients/Private Banking	



THE INVESTMENT ANALYSTS SOCIETY OF SOUTHERN AFRICA CODE OF PROFESSIONAL CONDUCT

1. The reputation of the investment analysts' profession and of The Investment Analysts Society of Southern Africa is of paramount importance and must be preserved by members of the Society at all times.

Members shall:

- 1.1 conduct their profession with integrity and dignity;
- 1.2 adopt irreproachable standards of conduct towards clients, fellow analysts, employers, employees and others with whom they have dealings;
- 1.3 preserve the confidence of both present and former clients;
- 1.4 conduct their activities strictly in accordance with the public interest and with full respect for the dignity of the Society, and
- 1.5 be aware of and comply with all legislation and other regulations affecting the conduct of their profession, in particular the prohibition on insider trading.

2. Members shall ensure that transactions for their own account or for any accounts in which they have an interest do not conflict with the interests of their clients or employers and that transactions for clients and employers have priority over transactions for their own account or any account in which they have an interest.

3. Members providing investment advice, whether by way of written research reports or in any other form (including oral advice) shall:

- 3.1 exercise due care, skill and thoroughness in making investment recommendations;
- 3.2 maintain independence and objectivity;
- 3.3 base their advice and recommendations on appropriate research and investigation;
- 3.4 distinguish between facts and opinions in research reports; and
- 3.5 not use material prepared by others in research reports without acknowledging the source.
- 3.6 dress appropriately and behave respectfully when attending corporate presentations to the Investment Analysts Society.

4. Alleged breaches of this Code will be dealt with in terms of the Constitution of the Society.

I accept the Code of Conduct of the Society

Signed _____

Date _____

Witness _____

Please remember to PRINT and FAX this form to (011) 791 0107.