



Application for membership

Full membership: Firms must be authorised by the FSA to provide discretionary and/or advisory investment management services.

Associate membership: For those firms who do not currently provide discretionary portfolio management services but offer some investment services using external brokers or are interested in investment management (e.g. private client solicitors).

Name of firm

Address of firm
.....

Name of nominated representative, who may vote at meetings (full member only) and to whom ASIM will send notices and information on training and events (full and associate member).

.....

Please complete the following questions.

1. Is your firm authorised by the FSA? YES/NO

If yes, please provide your firm's reference number and answer questions 2 to 7 for full membership.

If no, please indicate if your firm is:

a solicitors' firm

a company substantially owned by a solicitors' firm

Please ignore questions 2 to 7, sign the application form and return to ASIM with the application fee for associate membership.

2. Does your firm have "managing investments" in its FSA permissions? YES/NO

3. Does your firm have "advising on investments" in its FSA permissions? YES/NO

4. To the nearest £500,000 please indicate the value of client funds.

(a) managed through in-house asset allocation and in-house stock selection service
.....

(b) managed through in-house asset allocation service and outside stock selection service
.....

(c) managed through outside asset allocation service and outside stock selection service
.....

5. Does your firm produce its own contract notes? YES/NO
6. Does your firm produce regular client portfolio valuation in-house? YES/NO
7. Please give the names of persons retained by your firm who give investment advice on marketable securities, with their respective qualifications, and on what basis each is retained by the firm (eg partner, employee, etc)
- (a).....
- (b).....
- (c).....
- (d).....

Please submit a copy of your firm’s advisory management letter or agreement and/or discretionary management agreement and your brochure.

Fees

The application fee is £400 + VAT for full membership and £125 + VAT for associate membership. Annual subscriptions are £1000 + VAT for full membership and £500 + VAT for associate membership.

I certify that the answers given above are correct.

I agree that the firm will not hold themselves out as ASIM members until approved as such.

Signed (Partner or Director)

Name

Date

Your cheque (for the application fee only at this stage) should be made payable to ASIM and sent with the application form to: Association of Solicitors and Investment Managers, Riverside House, River Lawn Road, Tonbridge, Kent TN9 1EP.