MEMBERSHIP CLASS

PROFESSIONAL MEMBERS

All applicants for membership in the corporation shall be Professional Members. Any person shall be eligible to apply to the Membership Committee for Professional Membership who meets the following requirements:

• The emphasis of the applicant’s professional efforts shall be spent on practicing technical analysis for the purpose of money management and/or an investment research product;
• The applicant must have been gainfully employed in a professional analytical capacity for a minimum of three (3) years and must be regularly engaged in this capacity at the time of application. The Membership Committee has the discretion to waive the (3) three years eligibility requirement.

Notwithstanding the above, an applicant may be admitted as a Professional Member by the unanimous consent of the board on the following conditions:

a) The applicant must have made an outstanding contribution to the art of technical analysis; and
b) Three Professional Members propose the applicant for Professional Membership by providing to the board written recommendations, which cite his professional achievements.

Required: SPONSOR’S QUESTIONNAIRE FOR PROPOSED CSTA MEMBER

MEMBERS

Members need not meet all the requirements for Professional Membership. Members will be accepted by the Society who have demonstrated, genuine interest in the field of technical analysis and in the Society.

HONORARY MEMBERS

The board has the power to designate Honorary Members in the Society at its discretion

Having read the above I, _____________________________________________ hereby apply to The Canadian Society of Technical Analysts to become a/an _______________ member.
MEMBERSHIP APPLICATION

Name: _____________________________  Home Phone: _____________________________

Home Address: ________________________________________________________________

City, Province, Postal Code: _____________________________________________________

Home Fax: _____________________________  Home E-Mail: _____________________________

Current Employer: _______________________________________________________________

Work Address: _________________________________________________________________

City, Province, Postal Code: _____________________________________________________

Work Phone: _____________________________  Work Fax: _____________________________

Job description/Position: _________________________________________________________

CSTA DIRECTORY

Where would you prefer to receive your CSTA mailings?

Use which address?  Home ☐  Office ☐

Use which phone number?  Home ☐  Office ☐

Use which fax number?  Home ☐  Office ☐

Use which e-mail address?  Home ☐  Office ☐
ELEGIBILITY FOR MEMBER STATUS

Have you continuously been employed for a minimum of three years in a professional analytical or investment management capacity in which technical analysis is a primary input?

Yes ☐ No ☐

SPONSORSHIP REQUIRED

List three current members of the CSTA who are familiar with your work and who have agreed in advance to sponsor you as a member.

NOTE: ONLY ONE SPONSOR CAN BE FROM YOUR CURRENT FIRM.

<table>
<thead>
<tr>
<th>Sponsor’s Name</th>
<th>Sponsor’s Employer</th>
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REGULATORY HISTORY

Definition: Regulatory body – means “Stock Exchange, Association of Investment Dealers, Investment Bankers, Brokers, Broker-Dealers, or similar organization”

- Have you ever been convicted of a felony or misdemeanor within the last three years?

- At any time during the past three years, has any professional or business conduct (A) been complained about, or (B) been the subject of a proceeding of any nature (with or without formal hearing) to, in or by any regulatory body, a provincial or state agency, a governmental agency of any country, or a political subdivision thereof, with jurisdiction over securities activities, a securities exchange, a commodity exchange, a national securities association or any other judicial or quasi-judicial body, or any professional or business organization?

- Have you or any member broker dealer or registered advisor with which you were associated, at any time had any permanent or temporary injunction entered against them?

- Have you at any time been associated with a member broker dealer or registered advisor whose registration was denied or suspended or whose membership was revoked?

- Has your membership in any society of security analysts or similar group ever been denied, suspended or revoked?

- Have you at any time or to the best of the applicant’s information, has any affiliate of the applicant,
  a) Ever been convicted under the law of any province, state or country, excepting minor traffic violations?

    Is there currently an outstanding charge or indictment against the applicant or affiliate?

    INSTRUCTION: Question (a) refers to all laws, e.g., Criminal, Immigration, Customs, Liquor, etc. of any province, state or country in any part of the world. You are not required to disclose any convictions for which a pardon has been granted under the Criminal Records Act (Canada), and which pardon has not been revoked.

  (b) Ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein fraud was alleged?

  (c) At any time declared bankruptcy, or made a voluntary assignment in bankruptcy? (If Yes, give particulars and also attach a certified copy of discharge.)

  (d) Ever been refused a fidelity bond?

Application for CSTA Member Status 4
PROFESSIONAL QUALIFICATIONS

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Summarize any professional duties and/or products in addition to, or other than, the above, including any and all non-technical analysis functions:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

List membership in other investment-related organizations:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

Application for CSTA Member Status 5
Additional comments you believe would be helpful to the CSTA Admissions Committee in reviewing your application:


Application for CSTA Member Status 6
### EMPLOYMENT History

<table>
<thead>
<tr>
<th>Month &amp; Year</th>
<th>Name, Address &amp; Phone Number</th>
<th>Nature Of Business</th>
<th>Your Position</th>
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### Educational History

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<tr>
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<th>Dates Attended</th>
<th>Courses &amp; Degrees</th>
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<td><strong>GRADUATE/OTHER</strong></td>
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**SPONSOR’S QUESTIONNAIRE FOR PROPOSED CSTA MEMBER**

Sponsor: __________________________ Date: __________________________

Application for CSTA Member Status 7
Applicant:

Your relationship to applicant:

Time known:

Discuss in detail the applicant’s technical work as you understand it:

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

Personal evaluation or comments:

________________________________________________________

________________________________________________________

________________________________________________________

Do you sponsor the applicant:

YES  [ ]  NO  [ ]

Sponsor’s Signature:  ________________________________  Date:  ________________________________

Firm:  ________________________________  Phone:  ________________________________