

# **THE CANADIAN SOCIETY OF TECHNICAL ANALYSTS**

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## **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:

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Home Address:

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City, Province, Postal Code:

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Home Fax:

Home E-Mail:

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Current Employer:

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Work Address:

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City, Province, Postal Code:

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Work Phone:

Work Fax:

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Job description/Position

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**CSTA DIRECTORY**

Where would you prefer to receive your CSTA mailings?

Use which address?

Home

Office

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Use which phone number?

Home

Office

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Use which fax number?

Home

Office

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Use which e-mail address?

Home

Office

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**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.**

**Sponsor's Name**

**Sponsor's Employer**

**1**

**2**

**3**

## 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?

## **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:

Additional comments you believe would be helpful to the CSTA Admissions Committee in reviewing your application:

**EMPLOYMENT History**

Month & Year	Name, Address & Phone Number	Nature Of Business	Your Position
From:			
To:			
From:			
To:			
From:			
To:			

**Educational History**

Name & Location of School                      Dates Attended                      Courses & Degrees

**COLLEGE**

From:

To:

**UNIVERSITY**

From:

To:

**GRADUATE/OTHER**

From:

To:

**SPONSOR'S QUESTIONNAIRE FOR PROPOSED CSTA MEMBER**

**Sponsor :**

**Date:**





**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:**