



Securities Industry Professional (SIP) Program Application

The Securities Industry Professional (SIP) Program, a nationally recognized standard, establishes the knowledge base and acceptable ethical practices for processing professionals throughout the securities industry.

To apply, complete this application on-line. Then, mail a signed original of this document along with your resume and applicable recommendations to:

Securities Operations Forum – SIP Program
30 Broad Street – Suite 404
New York, NY 10005

I hereby apply for admission to the Securities Industry Professional Program. I have read the requirements and the goals of the program, and I understand that the final decision regarding my admission into this program will be made solely by Securities Operations Forum.

PART VII – Code of Professional Conduct

ISITC-IOA and SOF believe that it is essential for each securities operations professional who is accepted as a candidate for the SIP Credential to comply with a Code of Professional Conduct.

If I am accepted into the Securities Industry Professional (SIP) Program, I agree to comply with the following Code of Professional Conduct while I am working towards the designation and after I earn it.

1. I have not been convicted of any felony, nor have I been accused of violating any criminal law or securities regulation.
2. I will learn about all of the relevant securities laws, regulations and rules that apply to my areas of responsibility, and will actively strive to learn about new laws, regulations and rules as they are created. I understand that ignorance of these laws is no excuse for violations.
3. I will perform all of my professional responsibilities efficiently and competently. If I am assigned a task or responsibility for which I do not have sufficient knowledge or experience, I will take action to acquire the knowledge and/or experience immediately.
4. I will ensure that the people who work for me have been trained in their responsibilities and understand the relevant securities laws, regulations, rules and procedures that apply to their activities.
5. I will avoid conflicts of interest or the appearance of a conflict of interest by conducting my personal, business and professional affairs in a professional manner. If a conflict or an

appearance of a conflict arises, I shall take immediate action to eliminate the conflict and inform my supervisor as soon as possible.

6. I will avoid any actions that could damage my clients' reputation, the reputation of my employer (or my company if I am self-employed) or my reputation.
7. I will place my client's interest above my employer's interest and my employer's interest above my own in any business matters that relate to my client or my employer.
8. I will not use any non-public information to invest for my own gain or to inform other investors.
9. I will not disseminate any confidential information about my employer's business or my clients' business to anyone who does not have a valid need to know, except where disclosure of such confidential information is required by state or federal law or regulation.
10. I will comply with my firm's Policies and/or Code of Conduct.

Signature: _____ Date: _____

PART VIII – Certification

I hereby certify that the information presented in this application is correct and that I will adhere to the Securities Industry Professional (SIP) Credential Code of Professional Conduct while I am working towards this Credential and after I earn it.

I understand that I am expected to complete this specific program level in twelve months. I may extend this period an additional six months for an additional fee and understand that if I do not complete the requirements for this level in a total of eighteen months I will have to reapply and pay the full program level fee again.

I also understand that if my application is accepted I will be contacted and provided with a password that can be used to access the courses. I will not give my password to anyone else. If I am not accepted, the full fee will be refunded.

Signature: _____ Date: _____