

**GUERNSEY INVESTMENT & FUNDS ASSOCIATION  
APPLICATION FORM FOR MEMBERSHIP**



To: The Secretary  
Guernsey Investment & Funds Association  
c/o FWS Limited  
L'Abeurveux  
La Villiaze  
St. Andrews  
Guernsey  
GY6 8YH

Name of Applicant: \_\_\_\_\_

Nature of Business:\* \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone Number: \_\_\_\_\_  
\_\_\_\_\_

Email Address \_\_\_\_\_

Website Address \_\_\_\_\_

\* Please indicate along the lines of GIFA's current noted categories: POI – licensed fund administrator; POI – licensed custodian; POI – licensed manager or adviser; other POI – licensee; lawyer; accountant; compliance firm; non-executive directors; other category (please indicate nature)

We hereby apply to become a Member of the Guernsey Investment & Funds Association. The annual fee is £500.00 for institutions and £100 for individual Non-Executive Directors. I agree to pay the annual fee following confirmation of approval of my application. Where an application is received later than 1 July, the subscription fee is reduced by 50% in the first year of membership. Where relevant, I acknowledge and consent to the Guernsey Investment & Funds Association (i) holding my personal information as a data controller (ii) processing such information for membership purposes and (iii) publishing such controller (ii) processing such information for membership purposes and (iii) publishing such Application Form.

Signed \_\_\_\_\_ Dated \_\_\_\_\_  
(Representative/Alternate)

Name of Applicant's Representative: \_\_\_\_\_

Email address of Representative: \_\_\_\_\_

Name of Alternate: \_\_\_\_\_

Email address of Alternate: \_\_\_\_\_

Please note the following:

1. Unless otherwise defined herein, terms shall bear the meanings ascribed thereto in the constitution of the Association.
2. The Executive Committee of the Association may request supporting information confirming the status of the Applicant.
3. The Executive Committee may refuse to admit an Applicant to membership of the Association without giving reasons therefor.
4. Information regarding the Applicant's membership of the Association will be held in accordance with data protection legislation and principles applicable in the Bailiwick of Guernsey.

### **CODE OF CONDUCT\***

#### **1. Personal Accountability**

Members and, as applicable, their staff are to strive to uphold the highest levels of personal and professional standards at all times, acting with integrity, honesty, due skill, care and diligence to avoid any acts, which may damage the reputation of the member firm, GIFA or the financial services profession generally.

#### **2. Conflict of Interest**

Members and, as applicable, their staff, should be alert to and actively manage fairly and effectively any personal or other conflicts of interest, obeying legislation and complying with regulations as applicable, ensuring member firms and staff are open and cooperative with regulators, challenging perceived conflicts in the firm you are employed by to the best of your ability and reporting unlawful or unethical behavior.

#### **3. Respect for Market Participants**

Members and, as applicable, their staff, are to treat all members of the Guernsey finance sector with respect, to observe proper standards of market integrity, good practice, conduct and confidentiality required to maintain the highest level of mutual trust.

#### **4. Be socially conscious**

Members and, as applicable, their staff, are to treat everyone fairly and with respect, supporting opportunity for all, embracing diversity and inclusion and ensuring that the environmental impact of your work is considered to the best of your ability and in accordance with legal requirements.

#### **5. Speak up and do the right thing**

Members and, as applicable, their staff, are to be active in speaking up and encouraging others to do so by listening, promoting a safe environment for all and recognizing the responsibilities you have to the communities in which you operate.

\*Please note, the GIFA Executive will use this code as a criteria when considering new and ongoing memberships under clause 4 of the constitution where it becomes aware of members or potential members who may not be following the code.