



CHARTERED INSTITUTE FOR  
SECURITIES & INVESTMENT

# STATEMENT OF PROFESSIONAL STANDING

This is to certify that

**John Markham**

(FCA Reference Number: JFM01092 )

has fully completed the qualifications requirement,  
has maintained competence through continuing professional development  
and has agreed to adhere to the FCA APER and the CISI's Code of Conduct



This Statement of Professional Standing  
is valid for the period:



**29 February 2016 to 27 February 2017**

A handwritten signature in black ink, appearing to read 'Lydia Romero', written over a horizontal line.

Lydia Romero, Head of Accredited Body,  
Chartered Institute for Securities & Investment

A handwritten signature in black ink, appearing to read 'Simon Culhane', written over a horizontal line.

Simon Culhane, Chartered FCSI, Chief Executive Officer,  
Chartered Institute for Securities & Investment

People must be approved by the FCA before giving financial advice. You can check if this person is approved by the FCA to give advice by going to [www.fca.org.uk/register](http://www.fca.org.uk/register) and searching with their FCA individual reference number.

CISI number: 190966

CISI Membership Grade: CFP Chartered MCS Date of joining: 01 April 2015

This Statement of Professional Standing remains the property of the CISI and can be recalled at any time.

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## Code of Conduct

### Introduction

Professionals within the securities and investment industry owe important duties to their clients, the market, the industry and society at large. Where these duties are set out in law, or in regulation, the professional must always comply with the requirements in an open and transparent manner.

Members of the CISI are required to meet the standards set out within the CISI's Principles. These Principles, which are also known as the Lord George Principles in recognition of the contribution made to standards of integrity by the late Lord George FSI(Hon), impose an obligation on members to act in a way beyond mere compliance and to support the underlying values of the Institute.

Material breach of the Code of Conduct would be incompatible with continuing membership of the Chartered Institute for Securities & Investment and may result in disciplinary action.

Members who find themselves in a position which might require them to act in a manner contrary to the Principles are encouraged to:

1. discuss their concerns with their line manager
2. seek advice from their internal compliance department
3. approach their firm's non-executive directors or audit committee
4. if unable to resolve their concerns, and having exhausted all internal avenues, contact the Chartered Institute for Securities & Investment for advice (email: [principles@cisi.org](mailto:principles@cisi.org))

### The Principles

1. To act honestly and fairly at all times when dealing with clients, customers and counterparties and to be a good steward of their interests, taking into account the nature of the business relationship with each of them, the nature of the service to be provided to them and the individual mandates given by them.
2. To act with integrity in fulfilling the responsibilities of your appointment and to seek to avoid any acts, omissions or business practices which damage the reputation of your organisation or the financial services industry.
3. To observe applicable law, regulations and professional conduct standards when carrying out financial service activities, and to interpret and apply them to the best of your ability according to principles rooted in trust, honesty and integrity.
4. To observe the standards of market integrity, good practice and conduct required or expected of participants in markets when engaging in any form of market dealings.
5. To be alert to and manage fairly and effectively and to the best of your ability any relevant conflict of interest.
6. To attain and actively manage a level of professional competence appropriate to your responsibilities, to commit to continuing learning to ensure the currency of your knowledge, skills and expertise and to promote the development of others.
7. To decline to act in any matter about which you are not competent unless you have access to such advice and assistance as will enable you to carry out the work in a professional manner.
8. To strive to uphold the highest personal and professional standards at all times.

I adhere to the above principles \_\_\_\_\_