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**APPLICATION FOR SUBMISSION TO THE ARIF CODE OF DEONTOLOGY CONCERNING THE EXERCISE OF THE PROFESSION OF AN INDEPENDENT ASSET MANAGER OR INVESTMENT ADVISER**

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**Please answer the following questions:** (PLEASE TICK WHERE APPROPRIATE)

- A. Name / company firm: .....
- B.  **The candidate exercises an activity as an asset manager or investment adviser, but does not purchase or recommend any shares in collective investments for/to his or her customers.** (The adherence to the Code of Deontology is not compulsory, but optional; tick box E if applicable)
- C.  **The candidate exercises an activity as an asset manager or investment adviser, he or she purchases or recommends shares in collective investments exclusively for/to qualified investors regulated by the FINMA as defined in Article 10 paragraph 3 letters a and b CISA.** (The adherence to the Code of Deontology is not compulsory, but voluntary; tick box E if applicable)
- D.  **The candidate exercises an activity as an asset manager or investment adviser, he or she purchases or recommends shares in collective investments for/to his or her customers considered as non-regulated qualified investors or non-qualified investors.** (The adherence to the Code of Deontology is compulsory)

**Your attention is expressly drawn to the fact that the subjection to ARIF's Code of Deontology will continue as long as your membership in ARIF will subsist and the activity will last because of which you are obliged by law to submit to such rules of conduct.**

- E.  **The candidate exercises an activity as an asset manager or investment adviser and wishes to adhere voluntarily to the Code of Deontology.**

**Your attention is expressly drawn to the fact that your voluntary subjection to ARIF's Code of Deontology cannot be revoked before the end of the audit period during which it has been declared.**

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**Any subjected activity of a member subject to the Code of Deontology – regardless of whether compulsorily or voluntarily – must give rise to an audit in accordance with ARIF's Directives.**

**By answering yes to at least one of questions D and E hereinbefore, the candidate expresses his intent to submit fully and without reserve to ARIF'S Code of Deontology (available on the Internet site of ARIF [www.arif.ch](http://www.arif.ch)).**

**Additional annual flat-rate fee for the subjection to the Code of Deontology: CHF 861.60 (VAT included).**

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**Please date and sign the present application for affiliation to the ARIF Code of Deontology**

Authorised signature(s):

Date: