

Asset Manager Code of Professional Conduct™

Claim of Compliance Acknowledgement



In completing this form, an organization indicates that either A) it has adopted the Asset Manager Code of Professional Conduct (the Code) or B) the organization's current code of ethics/conduct complies with each and every one of the principles and provisions of the Code.

Complete all sections

CONTACT INFORMATION

ORGANIZATION NAME		PHONE NUMBER
ADDRESS LINE 1		
ADDRESS LINE 2		
CITY	STATE	PROVINCE
POSTAL CODE	COUNTRY	

PRIMARY CONTACT

PREFIX	FIRST OR GIVEN NAME	SURNAME OR FAMILY NAME
TITLE	PHONE NUMBER	EMAIL ADDRESS

NATURE OF THE CLAIM OF COMPLIANCE WITH THE ASSET MANAGER CODE OF PROFESSIONAL CONDUCT

- The organization has adopted the Code; or
 The organization's Code of ethics/conduct complies with all principles and provisions of the Code

Does the organization's website provide its code? Yes No

If yes, please provide the URL of code _____

Year organization first claimed compliance with the Code _____

DISPLAY OF ORGANIZATION NAME ON CFA INSTITUTE WEBSITE

The names of organizations claiming compliance are posted on the CFA Institute website to allow investors to determine if an organization claims compliance with the Code.

Please enter firm name as it should appear on the website (if different from above) _____

Organization website _____

Primary Company Type: Hedge Fund Investment Advisor Private Wealth Manager Other _____

Brief description of organization

ACKNOWLEDGEMENTS

- CFA Institute may update and modify the Code in the future and notify organizations of these modifications so the organization can make the necessary changes to continue to claim compliance. The organization acknowledges the responsibility to update their code to incorporate the modifications of the Code in order to continue to claim compliance.
- The organization acknowledges that, should it no longer comply with all principles and provisions of the Code (including updates), the organization will no longer claim compliance and promptly notify CFA Institute that it has stopped making such a claim.

This acknowledgement form is for communication and information gathering purposes only and does not represent that CFA Institute engages in enforcement or quality control of an organization's claim of compliance or has verified either the organization's claim of compliance or actual compliance with the Asset Manager Code of Professional Conduct.