

2008 Professional Conduct Statement (PCS)

Failure to file a PCS for one year can result in suspension of your membership in CFA Institute and/or right to use the CFA® designation.

Answer the following five questions (A through E) by marking one of the appropriate boxes below. You must mark an affirmative response if any one of the questions applies. Note that any matter described in the following questions must be disclosed, even if the matter is still pending. Questions regarding whether an incident or matter requires disclosure on the PCS should be directed to pcprogram@cfainstitute.org

In the last two years, have you been:

A. The subject of, a defendant in, or respondent in any investigation, civil litigation, arbitration, or other action or proceeding in which your professional conduct, in either a direct or supervisory capacity, was at issue?

B. The subject of a written complaint regarding your professional conduct in either a direct or supervisory capacity?

C. Permanently or temporarily prevented from: (i) acting as a person required to be registered under any law or regulation (i.e., investment adviser, broker, dealer, etc.); (ii) acting as an affiliated person or employee of any entity required to be registered under any law or regulation (i.e., investment company, bank, etc.); or (iii) trading on any securities or contract market?

D. Found to have aided, abetted, counseled, commanded, induced, or procured the violation by any person or entity of any securities or commodities-related law or regulation or any rule promulgated thereunder?

E. Convicted of (i) any felony or other crime punishable by more than one year in prison, or (ii) a misdemeanor involving moral turpitude (lying, cheating, stealing, or other dishonest conduct) or any substantially equivalent crime in any court of law?

___ NO

___ YES, not previously disclosed to CFA Institute (1)

___ YES, matter currently under investigation by CFA Institute (2)

___ YES, matter previously investigated by CFA Institute; review concluded (3)

CERTIFICATION: I agree to understand and comply with the CFA Institute Code of Ethics, Standards of Professional Conduct, Bylaws, and Rules of Procedure for Proceedings Related to Professional Conduct and other rules and regulations established by CFA Institute (Rules and Regulations) as amended from time to time. I agree to cooperate with any CFA Institute investigation of my conduct. I acknowledge and understand that failure to comply with CFA Institute Code of Ethics and Standards of Professional Conduct or cooperate with CFA Institute is grounds for disciplinary action against me. I certify that the above response and all information provided by me on this form are truthful, accurate and complete, and I agree to promptly notify CFA Institute of any material changes required in my response to the foregoing questions, including a change in address.

Printed Name: _____

Signature: _____

Member Number: _____ Date: _____