

# INVESTMENT MANAGEMENT CODE OF CONDUCT FOR ENDOWMENTS, FOUNDATIONS, AND CHARITABLE ORGANIZATIONS



## Claim of Compliance Acknowledgement

In completing this form, the organization indicates that either A) it has adopted the Investment Management Code of Conduct for Endowments, Foundations, and Charitable Organizations (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.

**Submit your form:** When you click the Submit button at the end of this form you will be prompted send an email with your form attached. If there is no prompt, save the completed form and send it to [ethics@cfainstitute.org](mailto:ethics@cfainstitute.org).

### 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 CLAIM OF COMPLIANCE WITH THE INVESTMENT MANAGEMENT CODE OF CONDUCT FOR ENDOWMENTS, FOUNDATIONS, AND CHARITABLE ORGANIZATIONS

- The organization has adopted the Code; or
- The organization's code of ethics/conduct complies with all principles of the Code
- Does the organization's website provide its code?  Yes  No
- If yes, please provide the URL of code \_\_\_\_\_

#### DISPLAY OF ORGANIZATION NAME ON CFA INSTITUTE WEBSITE

The names of Endowments, Foundations and Charitable Trusts claiming compliance are posted on the CFA Institute website.

Please enter the organization's name as it should appear on the website (if different from above) \_\_\_\_\_

Organization's website \_\_\_\_\_

Primary Classification of the Organization  Endowment  Foundation  Charitable Trust  Other Non-Profit Structure: \_\_\_\_\_

Brief description of the Organization

#### ACKNOWLEDGEMENTS

- CFA Institute may update and modify the Code in the future and notify organizations of these modifications so it can make the necessary changes to continue to claim compliance. The organization acknowledges the responsibility to update its 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 the principles and provisions of the Code (including updates), it 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 the organization's claim of compliance or has verified either the organization's claim or actual compliance with the Code.