

member or candidate, (2) interview the complainant or other third parties, and/or (3) collect documents and records relevant to the investigation.

The Designated Officer may decide: (1) that no disciplinary sanctions are appropriate, (2) to issue a cautionary letter, or (3) to discipline the member or candidate. In a case where the Designated Officer finds a violation has occurred and proposes a disciplinary sanction, the member or candidate may accept or reject the sanction. If the member or candidate chooses to reject the sanction, the matter will be referred to a panel of CFA Institute members for a hearing. Sanctions imposed may include condemnation by the member's peers or suspension of candidate's continued participation in the CFA Program.

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### LOS 1.b: State the six components of the Code of Ethics and the seven Standards of Professional Conduct.

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*CFA® Program Curriculum, Volume 1, page 14*

#### CODE OF ETHICS

Members of CFA Institute [including Chartered Financial Analyst® (CFA®) charterholders] and candidates for the CFA designation ("Members and Candidates") must:<sup>1</sup>

- Act with integrity, competence, diligence, respect, and in an ethical manner with the public, clients, prospective clients, employers, employees, colleagues in the investment profession, and other participants in the global capital markets.
- Place the integrity of the investment profession and the interests of clients above their own personal interests.
- Use reasonable care and exercise independent professional judgment when conducting investment analysis, making investment recommendations, taking investment actions, and engaging in other professional activities.
- Practice and encourage others to practice in a professional and ethical manner that will reflect credit on themselves and the profession.
- Promote the integrity of, and uphold the rules governing, capital markets.
- Maintain and improve their professional competence and strive to maintain and improve the competence of other investment professionals.

#### THE STANDARDS OF PROFESSIONAL CONDUCT

- I: Professionalism
- II: Integrity of Capital Markets
- III: Duties to Clients
- IV: Duties to Employers
- V: Investment Analysis, Recommendations, and Actions
- VI: Conflicts of Interest
- VII: Responsibilities as a CFA Institute Member or CFA Candidate

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