# CODE OF CONDUCT FOR MEMBERS OF A PENSION SCHEME GOVERNING BODY

CFA Institute

## Claim of Compliance Acknowledgement

In completing this form, the pension plan indicates that either A) it has adopted the Code of Conduct for Members of a Pension Scheme Governing Body (the Code) or B) the pension plan's current code of ethics/conduct complies with each and every one of the principles and provisions of the 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.

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**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 CODE OF CONDUCT FOR MEMBERS OF A PENSION SCHEME GOVERNING BODY

○ The pension plan has adopted the Code; or

○ The pension plan's code of ethics/conduct complies with all principles and provisions of the Code

Does the pension plan's website provide its code?          ○ Yes          ○ No

If yes, please provide the URL of code _____

Year pension plan first claimed compliance with the Code _____

### DISPLAY OF PENSION PLAN NAME ON CFA INSTITUTE WEBSITE

The names of pension plans claiming compliance are posted on the CFA Institute website.

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

Pension plan website _____

Characteristics of Plan Sponsor:          ○ Public          ○ Private

Industry for Private Sponsors _____

Participant Career Restrictions (e.g. Educators, Police, Firefighter, Public Employees) _____

Brief description of pension plan

### ACKNOWLEDGEMENTS

☐ CFA Institute may update and modify the Code in the future and notify pension plans of these modifications so the pension plan can make the necessary changes to continue to claim compliance. The pension plan acknowledges the responsibility to update its code to incorporate the modifications of the Code in order to continue to claim compliance.

☐ The pension plan acknowledges that, should it no longer comply with all the principles and provisions of the Code (including updates), the pension plan 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 pension plan's claim of compliance or has verified either the pension plan's claim or actual compliance with the Code.