CFA INSTITUTE
MEMBERSHIP AGREEMENT

Individual Members of CFA Institute must read and agree to the following:

1. You have read, understand, and agree to comply with the CFA Institute Code of Ethics, Standards of Professional Conduct, Bylaws, and Rules of Procedure for Professional Conduct ("Governing Documents") and other rules and regulations established by CFA Institute as amended from time to time.

2. You acknowledge and understand that failure to comply with the Governing Documents is grounds for disciplinary action against You and that a failure to cooperate with any CFA Institute investigation of Your conduct is grounds for summary suspension.

3. You hereby acknowledge that the information provided in this Membership Renewal is true, correct, and complete in all respects.

4. You acknowledge, agree, and, where necessary, consent to the processing of Your personal data as described in the CFA Institute Privacy Policy. You understand that You may request access and the opportunity to modify or delete certain portions of Your personal data to the extent permitted by applicable law by contacting CFA Institute as described in the "Contact Us" section at the end of the CFA Institute Privacy Policy.

5. Subject to the terms and conditions of this Member's Agreement and our compliance with the same, CFA® Institute hereby grants to You, during the Term of this Member's Agreement, a non-exclusive, non-transferable, and non-sublicensable right and license to use the CFA designation and related certification marks in connection with the provision of financial analysis services to the public for a one-year term (the "Term"). You hereby explicitly acknowledge and agree that You are not entitled, by virtue of having earned this designation, to its use the Certification Mark other than pursuant to the terms of this license.

6. You hereby agree to abide by, and any use of the Certification Mark by You, will be in compliance with the Trademark Usage guidelines. You further agree not to use the Certification Mark in such a way as to be confused with a company logo or placed in such close proximity to a company name or logo so as to give the reader the idea that the Certification Mark certifies the company, or otherwise combine the Certification Mark with any other trademark.

7. You hereby acknowledge and agree that, as between the parties, CFA Institute is the sole and exclusive owner of the Certification Mark and the registrations and applications therefor. CFA Institute may, in its sole discretion, maintain or discontinue the maintenance of such applications and registrations for the Certification Mark at any time.

8. Nothing contained in this Member's Agreement shall be construed as an assignment to You of any right, title, or interest in or to the Certification Mark. You recognize and acknowledge that the Certification Mark and all rights therein and goodwill pertaining thereto solely and exclusively belong to CFA Institute. You agree not to directly or indirectly attack or impair the title of CFA Institute to the Certification Mark, the validity of this Member's Agreement, or any of the CFA Institute registrations or applications relating to the Certification Mark.

9. You acknowledge the importance to CFA Institute of its reputation and goodwill and to the public of maintaining high, uniform standards of quality in the services provided under the Certification Mark. You agree that CFA Institute will have the right, but not the obligation, to monitor the provision of services provided by You in association with the Certification Mark and that, in the event CFA Institute determines that the quality of those services does not meet the standards set by CFA Institute, including the standards in the Governing Documents, CFA Institute may terminate the license upon prior notice. You acknowledge and agree that the final determination with respect to the termination of this license shall be made by CFA Institute. Upon termination of this license for any reason whatsoever, You agree to immediately cease any and all use or display of the Certification Mark for any purpose whatsoever. In the event that this license terminates in accordance with the terms of this Member's Agreement, You will not be entitled to any refund of any fees already paid or owing as of the date of termination.

By signing this document, I hereby acknowledge that I have read, understood, and agree to the terms of the CFA Institute Member's Agreement.

Signature:_____ Date: _____

Printed Name:_____ CFA Institute Identification #: _____

Please complete both sides.

CFA INSTITUTE • 915 EAST HIGH STREET • CHARLOTTESVILLE, VA 22902, USA
FAX: +1 (434) 951-5240 • PHONE: +1 (434) 951-5499 • USA AND CANADA: (800) 247-8132 • E-MAIL: INFO@CFAINSTITUTE.ORG
© CFA Institute. All rights reserved.

CFA INSTITUTE MEMBER RETURN FROM RETIREMENT PROFESSIONAL CONDUCT STATEMENT

CFA Institute

Activation

☐ I am no longer eligible for retirement status and wish to return to full membership.

Professional Conduct

As a member of CFA Institute, you are required to answer the following questions. If any answer is "yes," the matter described in questions must be disclosed.

I certify that my answers below are accurate, truthful, and complete. I also agree to notify CFA Institute promptly of any changes that would require a different response to any of the following questions:

A. Have you ever been the subject of any written complaint or accusation regarding your professional conduct or activities?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

B. Have you ever been the subject of any investigation (internal or external) in which your professional conduct or activities were questioned or at issue?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

C. Have you ever been the subject of, or a defendant or respondent in, any litigation, arbitration, or other action or proceeding in which your professional conduct or activities were questioned or at issue?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

D. Have you ever been reprimanded, censured, restricted, suspended, barred, enjoined, or otherwise sanctioned by any regulator, professional organization, government agency, or court because of your professional conduct or activities?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

E. Have you ever been accused of, been convicted of, or pleaded guilty to, any crime *relating to your professional conduct or activities*?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

F. Have you ever been accused of, been convicted of, or pleaded guilty to, *any crime* (regardless of whether it involved your professional conduct or activities) that *could have* resulted in a sentence of more than one year in prison?

- ☐ No
- ☐ Yes, matter not previously disclosed to CFA Institute
- ☐ Yes, matter currently under investigation by CFA Institute
- ☐ Yes, matter previously investigated by CFA Institute; review concluded

By signing this document, I hereby acknowledge that I have read and understand the document in its entirety and agree with all of the above.

Signature:_____ Date: _____

Printed Name:_____ CFA Institute Identification #: _____

Please complete both sides.

CFA INSTITUTE • 915 EAST HIGH STREET • CHARLOTTESVILLE, VA 22902, USA
FAX: +1 (434) 951-5240 • PHONE: +1 (434) 951-5499 • USA AND CANADA: (800) 247-8132 • E-MAIL: INFO@CFAINSTITUTE.ORG
© CFA Institute. All rights reserved.