

# Financial Analysts Journal®

## Appeals Policy and Process

---

This procedure outlines how the *Financial Analysts Journal* evaluates appeals of its editorial decisions.

1. You may only request an appeal if you are named as an author on the manuscript that was submitted to the *Financial Analysts Journal*. The appeal is limited to the manuscript in question.
2. Editorial decisions made by the *Financial Analysts Journal* are final and not subject to an appeal, so appeals will only be considered when a reviewer or editor has made a significant factual error or when his/her objectivity is compromised by a documented competing interest and when a reversal based on either of these grounds would change the original decision.
3. You cannot appeal a decision until at least two weeks after the decision letter was sent to you.
4. If the decision was to reject the manuscript, you cannot appeal if more than a year has passed since the decision letter was sent to you.
5. The appeal should be addressed in the form of a letter and should not include the manuscript either in its original form or in a revised form. The letter should be sent to the editorial office via email at [faj@cfainstitute.org](mailto:faj@cfainstitute.org). The *Financial Analysts Journal* will not consider appeals by other means.
6. Your letter should describe what error(s) was (were) made in the decision-making process and why correcting this (these) error(s) would change the original decision. The letter must be evidence based rather than opinion based and must be written in a clear, concise, and respectful manner. Requests for appeals failing these requirements will be summarily rejected.
7. If the manuscript was rejected without external review, the executive editor and managing editor will read your letter and a decision will be made to
  - a. Deny your appeal if it is determined that the manuscript does not conform to the [Author Guidelines](#) that the *Financial Analysts Journal* requires authors to read and comply with prior to submission. You will receive a written explanation justifying this decision.
  - b. Grant your appeal if it is determined that further review of the manuscript is necessary. External review will be conducted in compliance with the peer-review process explained in the Author Guidelines. At the end of this process, a decision will be made on whether to (i) publish the manuscript, (ii) invite a revision, or (iii) not publish the manuscript. You will receive a written explanation justifying this decision. This decision will not be subject to further appeal.
8. The executive editor, managing editor, and co-editor who handled the manuscript will read your letter and determine whether to manage the appeal directly or to appoint another co-editor to serve as appeal editor. In either case, a decision will be made to
  - a. Deny your appeal if it is determined that a further review of the manuscript is not reasonably likely to change the ultimate outcome. You will receive a written explanation justifying this decision.
  - b. Grant your appeal and send your manuscript for external review as if it were a new submission if it is determined that further review of the manuscript could reasonably be expected to change the original decision. Additional external review will be conducted in compliance with the peer-review process explained in the Author Guidelines. At the end of this process, a decision will be made on whether to (i) publish the manuscript, (ii) invite a revision, or (iii) not publish the manuscript. You will receive a written explanation justifying this decision. This decision will not be subject to further appeal.
9. Given the cost associated with managing the appeals process, all appeals must be accompanied by a fee of US\$150. This fee will be

refunded if the appeal is rejected (7a and 8a) or if the manuscript is ultimately accepted for publication (7bi and 8bi). When the *Financial Analysts Journal* acknowledges receipt of your letter, you will be provided with instructions for payment. The *Financial Analysts Journal* will not begin its review of your appeal until the payment has been received.

Please also note that

10. You may only submit one appeal per manuscript and you are entitled to no more than two rejected appeals in any given four-year period.
11. Decisions of the *Financial Analysts Journal* on your appeal are final and are not eligible for further appeal.