EXAM CASES

Violations by Exam Cycle

- Looking at Another Candidate’s Exam/Cheating
- Opening Exam Booklet Prior to Instruction
- Possession/Use of Reference Materials
- Use of Scratch Paper
- Writing Past Time
- Other Misc. Rules Violations
EXAM CASES

Closed by Exam Cycle

- Cases Pended
- Prohibition from Participation in the CFA Program
- 5 Year Suspension from CFA Program
- 4 Year Suspension from CFA Program
- 3 Year Suspension from CFA Program
- 2 Year Suspension from CFA Program
- 1 Year Suspension from CFA Program
- 6 Month Suspension from CFA Program
- Censure
- Private Reprimand
- Cautionary Letter
- No Disciplinary Action

*291 cases still open