

CFA Program Applicant Appeal Q&A

Question:

What if my “yes” response to one or more of the Professional Conduct Inquiry questions was an error?

Answer:

You should submit an email to Professional Conduct attesting that the “yes” response(s) was an error. Upon receipt of your email, Professional Conduct will re-review your registration.

Question:

How long do I have to send an email?

Answer:

The email identified a specific timeframe; however, we recommend that you let us know as soon as possible to ensure your registration is uninterrupted, your exam appointment is not canceled, and you remain scheduled to take the exam within the window you registered.

Question:

I didn't respond to Professional Conduct's email and my registration and testing appointment were canceled. Now what do I do?

Answer:

If the exam window is still open for the exam you registered to take, you may go online and re-register. Please note there is no guarantee there will be a testing appointment available for your chosen test center. If the exam window is no longer open, you may go to the next exam window.

Question:

What if my “yes” response to one or more of the Professional Conduct Inquiry questions was not an error. Can I appeal the denial of my registration?

Answer:

You may submit an appeal of the denial of your registration, by email, to Professional Conduct.

Question:

How long do I have to send an appeal?

Answer:

The email identified a specific timeframe; however, if you require more time, we recommend that you let us know as soon as possible that you intend to submit an appeal, to ensure your registration is uninterrupted, your exam appointment is not canceled, and you remain scheduled to take the exam.

Question:

Who will review my appeal?

Answer:

Your appeal will be reviewed by two senior Professional Conduct staff members.

Question:

What are my chances of winning an appeal?

Answer:

As the facts of each disclosure are different, it is difficult to predict the likelihood your registration will be accepted. In evaluating an appeal, the Professional Conduct staff members will maintain the strict standards of admission – your appeal will be denied – unless the Professional Conduct staff members **both** have a strong belief that the conduct should not prevent participation in the CFA Program.

Question:

Will Professional Conduct investigate my conduct?

Answer:

No. An investigation will **not** be conducted. It will be your obligation to provide sufficient information that the disclosed conduct should not prevent your participation in the CFA Program.

Question:

If I submit an appeal, how long before I find out whether I am allowed to participate in the CFA Program?

Answer:

Professional Conduct will provide a written determination on the appeal as soon as possible, and no later than thirty (30) days after receipt.

Question:

If Professional Conduct denies my appeal and doesn't allow me to participate in the CFA Program, can I submit more information and have my appeal re-reviewed?

Answer:

No. Professional Conduct's determination is final. After a determination is issued, there will be no opportunity for you to submit further information or petitions related to the enrollment/registration decision. However, the denial of your enrollment/registration does not preclude you from applying for a future CFA exam and submitting a new appeal, or when you meet the professional conduct criteria.

Question:

What if my appeal is not resolved prior to closure of the exam appointment window?

Answer:

If a decision is made to allow your registration, but you did not make an exam appointment prior to the applicable deadline, you will not be able to sit for the exam in that testing window. You will be eligible to register to take the exam in the next exam window.

Question:

If I have questions about the appeals process, where should I send them?

Answer:

You should submit questions regarding the denial of your registration and appeals process to Professional Conduct at pcprogram@cfainstitute.org. Specific information regarding exam dates, registration fees, and other important deadlines can be found on the CFA Institute website.