



November 4, 2010

DESIGNATION ETHICS COMMITTEE

1. OVERVIEW

The Designation Ethics Committee protects the integrity of CSI designations and the investing public by investigating allegations of professional misconduct and complaints against designation holders. Upon a finding of professional misconduct or a violation of the FCSI, PFP®, CSWP, CIM or MTI *Code of Ethics*, the committee will determine the appropriate penalty or sanction to be imposed. The committee reports to the Advisory Councils for each of the above noted designations.

2. AUTHORITY AND RESPONSIBILITIES

- Investigate all allegations of professional misconduct and complaints
- Assess and adjudicate complaints against designation holders
- Determine whether there has been a violation of the *Code of Ethics*
- Recommend appropriate penalties or sanctions for violations of the *Code of Ethics*
- Ensure that all cases are heard promptly, fairly, and are assessed objectively
- A minimum of 60% of members of the Ethics Committee must be present to adjudicate a complaint.
- A holder of the specific designation being considered must be present to deal with a complaints against a holder of that specific designation (e.g. a holder of the PFP® designation must be present if a PFP® designation holder is being considered for ethical misconduct)
- The CSI Case Coordinator (normally a CSI employee) provides each member of the Ethics Committee with a copy of the case file. At the Ethics Committee meeting, the CSI Case Coordinator presents the case and answers questions.
- A comprehensive outline of the Ethical Misconduct Process is detailed in the *Code of Ethics*

3. MEMBERSHIP

The Ethics Committee consists of five to seven members. The Chairperson is appointed by the members of the committee. Each member sits for a two-year term, with the potential to renew for another two-year term thereafter.

Membership is restricted to individuals who also sit on a designation advisory council (e.g. PFP® Advisory Council or FCSI Advisory Council).

No person may sit on both the Ethics Committee and the Appeals Committee. Appeals committees are set up on an ad hoc basis to hear appeals with regard to decisions made by the Ethics Committee.

4. QUALIFICATIONS OF MEMBERS

Members must meet the qualification requirements of the Advisory Council as membership is restricted to members of the Advisory Council.