



## **ASSOCIATE MEMBERSHIP FACT SHEET**

### **What is the Chartered Financial Analyst (CFA) Designation?**

First awarded in 1963, the CFA charter has become known as the gold standard of professional credentials within the global investment community. Employers and investors recognize the CFA designation as the definitive standard for measuring competence and integrity in the fields of portfolio management and investment analysis. The CFA Program is comprised of 3 levels - each culminating in an exam. One must pass each level sequentially and fulfill other requirements of the program before earning the right to use the CFA designation.

### **What is CFA Society Portland (CFASP)?**

CFASP is an association of local investment professionals. Consisting of portfolio managers, security analysts, investment advisors, and other financial professionals, we promote:

- ethical and professional standards within the investment industry,
- encourage professional development through the CFA Program and continuing education,
- facilitate the exchange of information and opinions among people within the local investment community and beyond, and;
- work to further the public's understanding of the CFA designation and investment industry.

As one of CFA Institute member societies, our society connects members to a global network of investment professionals.

### **Why apply for a CFASP Associate Membership?**

Benefits of membership provide qualified Associate Members with opportunities for building contacts as well as gaining knowledge from industry experts at a significantly reduced rate:

- Membership pricing to all events
- Attendance to Annual Membership Meeting and Holiday Social at no cost

### **To Qualify:**

Applicants are required to submit all of the following documents to be considered for Associate Membership:

- Completed Associate Membership Application (page 2)
- Most recent resume
- Two references (one of the two must be a CFASP Regular Member)
- Agree to the CFASP Code of Conduct (pages 3 and 4)
- Pay \$100 annual membership dues (credit card or check payable to CFA Society Portland).

Associate Membership Applications are processed at each month-end by CFASP with recommendation for approval by the Board of Directors.



**Associate Membership Application**

*Section A. Applicant Information:*

Name \_\_\_\_\_  
Last First Middle

Address (Residential) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Address (Business) \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Email \_\_\_\_\_ Phone (\_\_\_\_) \_\_\_\_\_ - \_\_\_\_\_

Gender: Male Female D.O.B. \_\_\_\_/\_\_\_\_/\_\_\_\_  
mm dd yyyy

Are you (or have you ever been) enrolled in the CFA program? \_\_\_\_\_ Candidate # \_\_\_\_\_

Have you completed Level I? \_\_\_\_ Year? \_\_\_\_ Level II? \_\_\_\_ Year? \_\_\_\_ Level III? \_\_\_\_ Year? \_\_\_\_

Other professional designations (e.g. Chartered Accountant, Certified Public Accountant, etc.):

\_\_\_\_\_

*Section B. Please submit the names and contact info for two professional references. One reference must be a regular member of the CFASP.*



1. CFASP Regular Member: \_\_\_\_\_

Name

email

2. \_\_\_\_\_

Name

email

*Section C. How did you hear about the CFASP Associate Membership? (check all that apply)*

- CFASP Event Posting
- CFASP Website
- CFASP Member
- Other \_\_\_\_\_

*Section D. Payment*

Please choose one method of payment:

- I have enclosed a check in the amount of \$100.00 made payable to CFA Society Portland.
- I authorize CFA Society Portland to charge my credit card in the amount of \$100.00.

Card Type: \_\_\_\_\_

Name as it appears on Credit Card: \_\_\_\_\_

Credit Card Number: \_\_\_\_\_

Expiration Date: \_\_\_\_\_

Billing Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Signature of cardholder \_\_\_\_\_

*Credit card will not be charged until membership has been approved.*

*CFA Society Portland membership dues are not deductible as a charitable contribution but may be deductible as an ordinary and necessary business expense. Consult a tax professional to determine the appropriate tax treatment of your dues.*



*Section F. Applicant Statement*

I, \_\_\_\_\_, affirm that I have read and will adhere to CFA Society Portland Articles of Incorporation, Bylaws, Code of Conduct, and other rules and regulations established by CFA Society Portland. I agree to pay annual dues upon submission of my application. I agree that a violation of any of the provisions of the Member’s Agreement may be grounds for termination of my membership by the Membership Committee of the CFA Society Portland. I affirm that all information provided by me herein is truthful and complete, and agree to notify CFA Society Portland of any material changes to this information.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Completed application should be sent to: CFA Society Portland Attn: Associate Membership 520 S. Grand Ave., Suite 370, Portland CA 90071 or emailed to [info@CFASP.org](mailto:info@CFASP.org) or faxed to 213-613-1233.. Contact us with any questions: [info@CFASP.org](mailto:info@CFASP.org) or 213-613-1503. [www.CFASP.org](http://www.CFASP.org)

**TERMS AND CONDITIONS**

Per CFA Institute policy, members must apply for the highest level of membership for which they qualify.

CFA Society Portland Associate Membership is valid for one year and must be renewed annually. The membership year runs from July 1<sup>st</sup> – June 30<sup>th</sup>. Associate Membership dues are \$100 a year and are not pro-rated. If joining in the last quarter (April 1-June 30th) dues shall be paid in full for the following fiscal year.

Associate Membership in CFA Society Portland does not qualify an individual for membership in the CFA Institute or for future Regular or Affiliate membership in CFA Society Portland.

Thank you for your interest in joining CFASP as an Associate Member.

CFA Society Portland  
111 S.W. Fifth Avenue, Suite 3675  
Portland, Oregon 97204  
Please contact us with any questions: [info@cfaportland.org](mailto:info@cfaportland.org) or 503-416-6153.  
[www.cfaportland.org](http://www.cfaportland.org)



## **CFA Society Portland Code of Conduct for Associate Members**

### *Preface*

All Regular Members, Retired Members, Affiliate Members, and CFA candidates, shall abide by the CFA Institute Code of Ethics and Standards of Professional Conduct (“Institute Code and Standards”; see attached), which observe the highest standards of principles and conduct for education, integrity and professional excellence. The CFA Institute’s Board of Governors and relevant CFA committees are given the authority to enforce the Code of Ethics and Standards of Professional Conduct.

Associate Members shall abide by the CFASP Code of Conduct as enumerated below, which has principles and conduct similar to the Institute Code and Standards. Unlike the Institute Code and Standards, the CFASP Code of Conduct will be enforced solely by the CFASP Board of Governors.

### *Code of Conduct*

All CFASP Associate Members shall:

1. Observe the highest standards of conduct and integrity, and uphold the good standing and reputation of CFASP;
2. Act with competence, diligence, respect and in an ethical manner with the public, clients, prospective clients, employers, employees, colleagues in the investment profession and other participants in the global capital markets;
3. Place the interest of clients above their own personal interests;
4. Use reasonable care and exercise independent professional judgment when engaging in professional activities;
5. Avoid actions or situations that are inconsistent with their professional obligations, and be guided by not only the terms but also the spirit of this Code of Conduct;
6. Practice and encourage others to practice in a professional and ethical manner that will reflect credit on themselves and their related professions;
7. Promote the integrity of and uphold the rules governing capital markets;
8. Maintain and improve their professional competence and strive to maintain and improve the competence of others;



9. Comply with all applicable laws, rules and regulations and not knowingly participate or assist in any violation of such laws, rules and regulations;
10. Refrain from engaging in any professional conduct involving dishonesty, fraud, deceit or commit any act that reflects adversely on their professional reputation, integrity or competence;
11. Conduct themselves with courtesy and consideration towards all and should not behave in a manner that could reasonably be considered offensive or discriminatory;
12. Refrain from unacceptable behavior that includes but is not limited to the following:
  - a. Knowingly making libelous and false statements,
  - b. Violating confidentiality terms and/or privacy of others,
  - c. Tampering with equipment or defacing property,
  - d. Threatening or harassing others, including repeatedly asking disruptive questions, and making inappropriate comments or physical gestures, and
  - e. Plagiarizing work of others, or infringing upon any copyright, trademark, or trade secrets of others without securing appropriate permission and proper acknowledgment.
13. Notify CFASP in writing within 30 days of any conviction of a crime (not misdemeanor traffic offenses), and/or any sanction resulting from disciplinary action taken by any other professional body or authority.

#### *Miscellaneous Provisions*

CFASP reserves the right to remove any individual from an event who does not conform to the Code of Conduct whether it takes place at CFASP's facility or an off-site venue. Furthermore, the individual may be barred from future events or in more severe circumstances, may have his or her membership suspended or revoked.

Any questions relating to the CFASP Code of Conduct should be directed to the CFASP Board of Governors through their Executive Director.