



Setting the global standard for investment professionals

Where Can I Find More Information?

There are many sources of information to help you choose the right adviser and learn more about the investment process. Here are a few links that you might find helpful:

The American Association of Individual Investors is a nonprofit organization specializing in providing education in the areas of stock investing, mutual funds, portfolio management, and retirement planning.
www.aaii.com

The Alliance for Investor Education is dedicated to helping current and prospective investors of all ages understand investing, investments, and the financial markets.
www.investoreducation.org

CFA Institute is the leading global not-for-profit organization for investment professionals. CFA Institute administers the CFA Program and awards the Chartered Financial Analyst® (CFA®) credential.
www.trustcfa.org

Certified Financial Planner Board of Standards, Inc., is a professional regulatory organization that fosters professional standards in personal financial planning and certifies individuals with the CFP® designation.
www.cfp.net

Financial Industry Regulatory Authority is the largest independent regulator for securities firms doing business in the United States. Every firm and broker that sells securities in the United States must be licensed and registered by FINRA.
www.finra.org

The North American Securities Administrators Association is a voluntary association of firms organized for the purpose of investor protection. Links to state securities regulators may be found through NASAA's website.
www.nasaa.org

The Securities and Exchange Commission serves as the United States' regulating body for the financial services industry. It oversees and examines all securities transactions within the U.S. markets.
www.sec.gov

For more information, please consult www.cfainstitute.org/adviser

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