# Chapter A: Professional Standards & Ethics

## Demonstrate knowledge of Standard I: Professionalism.

### State and interpret Standard I with respect to knowledge of the law, independence and objectivity, misrepresentation, and misconduct

### Recognize procedures for compliance with respect to knowledge of the law, independence and objectivity, misrepresentation, and misconduct

## Demonstrate knowledge of Standard II: Integrity of Capital Markets

### State and interpret Standard II with respect to material non-public information, and market manipulation

* Recognize procedures for compliance with respect to material non-public information

## Demonstrate knowledge of Standard III: Duties to Clients.

* State and interpret Standard III with respect to loyalty, prudence and care, fair dealing, suitability, performance presentation, and preservation of confidentiality
* Recognize procedures for compliance with respect to loyalty, prudence and care, fair dealing, suitability, performance presentation, and preservation of confidentiality

## Demonstrate knowledge of Standard IV: Duties to Employers

* State and interpret Standard IV with respect to loyalty, additional compensation arrangements, and responsibilities of supervisors

### Recognize procedures for compliance with respect to additional compensation arrangements, and responsibilities of supervisors

## Demonstrate knowledge of Standard V: Investments Analysis, Recommendations, and Actions

### State and interpret Standard V with respect to diligence and reasonable basis, communication with clients and prospective clients, and record retention

* Recognize procedures for compliance with respect to diligence and reasonable basis, communication with clients and prospective clients, and record retention

## Demonstrate knowledge of Standard VI: Conflicts of Interest. For example: • State and interpret Standard VI with respect to disclosure of conflicts, priority of transactions, and referral fees • Recognize procedures for compliance with respect to disclosure of conflicts, priority of transactions, and referral fees