

5 May 2021

PERSONAL AND CONFIDENTIAL
Via Email: dimuthu999@gmail.com

Dimuthu Nuwan Ratnadiwakara
6969 South Loop E, 1402
Houston, TX 77087 2360

Notice of Investigation

Dear Mr. Ratnadiwakara:

Professional Conduct at CFA Institute promotes and protects the integrity and reputation of the CFA designation. We do so by diligently enforcing the CFA Institute Code of Ethics and Standards of Professional Conduct.

We recently learned that you are holding yourself out as a CFA charterholder and/or misusing the CFA designation. Enclosed for your reference is a copy of where you are using the designation and evidences this misuse. Our records indicate that your CFA charterholder status in CFA Institute lapsed in 2019 after you failed to pay annual dues and file an annual Professional Conduct Statement.

CFA Institute's Bylaws and Standard of Professional Conduct VII(B) state that only those who (1) have annually completed their Professional Conduct Statements and (2) paid their dues have earned the right to use the CFA designation and are permitted to hold themselves out as CFA charterholders. Those who have not completed both are not permitted to present themselves as CFA charterholders or use the CFA designation.

In addition to numerous emails that are sent by the organization to remind you of your obligation to pay your annual dues and file an annual Professional Conduct Statement, Professional Conduct sent you an email on 23 November 2020 which stated that you were found to be using the designation one-year following your lapsed date and requesting your compliance with Standard VII(b) of the Code and Standards. To date, you have not completed your reactivation nor corrected your use of the designation.

The purpose of this letter is to advise you that we have opened an investigation into your conduct. In connection with this investigation, we request that you provide the following information **within 21 days of the date of this letter**:

1. Please state whether you believe you were entitled to hold yourself out as a CFA charterholder and use the CFA designation in the instance(s) we cited above. If your answer to this question is "yes," please explain why?
2. Have you ever held yourself out as a CFA charterholder and used the CFA designation in any *other ways or places* (other than those identified above)? If your

answer to this question is “yes,” explain how, where, when, and under what circumstances you did so.

3. Please provide evidence that you have either *ceased* holding yourself out as a CFA charterholder and using the CFA designation (as identified above) **or** that you have successfully completed your reactivation as a CFA charterholder. To reactivate, please email our contact center at info@cfainstitute.org.
4. If any of your other contact information changes, you must log into your account at www.cfainstitute.org and make the necessary updates as soon as possible. Because of security restrictions, Professional Conduct cannot change this information on your behalf—you must make all changes through your CFA Institute account.

If you do not respond to this letter or fail to take one of the two actions outlined in question 3 in the time allowed, you may be subject to a disciplinary proceeding and sanction, and/or publication of your name on the CFA Institute website and elsewhere.

Please note that our investigation and any disciplinary proceeding that may result will be governed by the 2017 Rules of Procedure: Matters Related to Professional Conduct. Copies of the CFA Institute Bylaws, Code of Ethics and Standards of Professional Conduct, and Rules of Procedure may be found on our website at: [Professional Conduct Program](#).

If you have any questions, contact us by email at pcenforcement@cfainstitute.org.

Sincerely,

Enforcement, Professional Conduct

Enclosure(s)



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Dimuthu Ratnadiwakara

Assistant Professor of Finance at Louisiana State University

Baton Rouge, Louisiana, United States · 383 connections ·

[Contact info](#)

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Message



Louisiana State University

Activity

381 followers

Posts Dimuthu created, shared, or commented on in the last 90 days are displayed here.

[See all activity](#)

Experience



Assistant Professor

Louisiana State University · Full-time
Aug 2019 – Present · 1 yr 10 mos

Analyst

Liege Capital
Feb 2011 – Aug 2016 · 5 yrs 7 mos

Consultant

Aptivaa Consulting
2010 – May 2011 · 1 yr

Risk Analyst

DFCC Bank
Mar 2009 – Aug 2010 · 1 yr 6 mos

Researcher

LIRNEasia
2007 – 2009 · 2 yrs

Education



University of Houston

Doctor of Philosophy (Ph.D.), Finance
2013 – 2019

University of Peradeniya

BSc, Statistics and Computer Science
2003 – 2007

Computer Science, Statistics, Mathematics

Licenses & certifications

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Department of Finance, E. J. Ourso Colleg...[Connect](#)

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Groningen, Programme Director MSc...[Connect](#)[Show more ▾](#)

People you may know



Jen Curran, CFE, CCEP

Compliance Connection at CFA Institute

[Connect](#)

John L Bowman, CFA

Senior Managing Director at CAIA
Association[Connect](#)

Leslie Rubenfeld

Director of Recruiting at Mission Recruiting,
LLC Leslie@MissionRecruiting.com * (949)...[Connect](#)

Britta Keller

Owner, Le Splash Marketing

[Connect](#)

Josina Kamerling

Head of Regulatory Outreach EMEA at CFA

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Issued Feb 2010 · No Expiration Date

Credential ID YLTUCE9HYF9Z

[See credential](#)**Hadoop Platform and Application Framework**

Coursera Course Certificates

Issued Jan 2016 · No Expiration Date

Credential ID EMUL7BLJXSUP

[See credential](#)**Introduction to Big Data Analytics**

Coursera Course Certificates

Issued Jan 2016 · No Expiration Date

Credential ID T5ES762CETPM

[See credential](#)**Machine Learning With Big Data**

Coursera Course Certificates

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Credential ID VFC2F8549446

[See credential](#)**Introduction to Big Data**

Coursera Course Certificates

Issued Dec 2015 · No Expiration Date

Credential ID 2VT7EPU9NM8C

[See credential](#)**Chartered Financial Analyst**

CFA Institute

Issued Jun 2010 · No Expiration Date

**Machine Learning**

Coursera Course Certificates

Credential ID LJBFBYZCL9M

[See credential](#)[Show less](#) ^**Skills & endorsements****Financial Analysis** · 24

Endorsed by 4 of Dimuthu's colleagues at DFCC Bank PLC

Analysis · 22

Suranga Wijekoon and 21 connections have given endorsements for this skill

Risk Management · 20

Endorsed by 3 of Dimuthu's colleagues at DFCC Bank PLC

Industry Knowledge**Fixed Income** · 17**Statistics** · 16**Financial Risk** · 12**Credit Risk** · 10**Financial Modeling** · 9**Economics** · 9**Banking** · 6**Capital Markets** · 5**Research** · 5**Data Analysis** · 5

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International Development · 1

Report Writing · 1

Policy · 1

Public Policy · 1

Corporate Finance · 1

Derivatives · 1

Big Data

Machine Learning

Tools & Technologies

Stata · 1

R · 1

Python

Hadoop

Other Skills ?

Basel II · 5

Apache Spark

Show less ^

Recommendations

Received (1)

Given (1)

Manohari**Gunawardhena**Financial Sector Specialist at
Asian Development Bank
(ADB)November 10, 2013, Manohari
was senior to Dimuthu but didn't
manage directly

A very analytical mind and was very upul in decision making.

Accomplishments

2 Languages

English • Sinhalese

**1** Course

Machine Learning

**1** Organization

CFA Institute

**1** Project

Github



Interests

**University of Houston**
319,550 followers**Louisiana State University**
231,443 followers**Data-Intensive Development**
204 members

Messaging





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