



CODE OF ETHICS

Every Candidate of the FDP Institute (“FDPI”) (“Candidate”) and Charterholder of FDPI (“Charterholder”) must fully abide by this Code of Ethics. A violation of this Code of Ethics will subject such Candidate or Charterholder to disciplinary action under FDPI’s Discipline Procedures. Potential discipline includes a Public Letter of Admonition, Suspension from the FDP program, and/or Revocation of Charterholder status, as explained in FDPI’s Discipline Procedures.

1. Conduct in FDPI Programs. A Charterholder or Candidate must not engage in any conduct that compromises the reputation or integrity of FDPI or the FDP designation or the integrity, validity, or security of the FDPI programs.
2. Professional Conduct of FDPI Candidates and Charterholders.
 - a. A Candidate or Charterholder shall not engage in any professional conduct involving dishonesty, fraud, or deceit, or commit any act that reflects adversely on his or her professional reputation, integrity, or competence; and
 - b. A Candidate or Charterholder must act with integrity, competence, diligence, respect, and in an ethical manner with the public, clients, prospective clients, employers, employees, and colleagues in their profession.
3. Duty to Inform FDPI. A Candidate or Charterholder shall promptly inform FDPI in writing to the following email address misconduct@fdpinstitute.org if, in the past five (5) years, the Candidate or Charterholder is or has been:
 - a. the subject of, a defendant in, or respondent to any investigation, civil litigation, arbitration, or other action in which his or her professional conduct is at issue;
 - b. convicted of a felony;
 - c. convicted of a misdemeanor for fraud, misrepresentation, or crimes of moral turpitude (lying, cheating, stealing, or other dishonest conduct);
 - d. prevented, due to misconduct or complaints against the Individual, from:
 - i. acting under a professional license or registration (e.g., securities, investment adviser, insurance, accounting, or bank-related license) unless the action is administrative in nature, i.e. the result of the individual determining to not renew the license by not paying the required fee and/or not completing the required continuing education;
 - ii. acting as an affiliated person or employee of any entity required to be registered under any law or regulation (e.g., investment company or bank); or
 - iii. trading in any securities market;



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- e. found to have aided, abetted, counseled, commanded, induced, or procured the violation of any law, regulation, or rule related to their professional conduct.
4. Reference to FDPI. A Candidate or Charterholder shall not misrepresent or exaggerate the meaning or implications of their relationship with FDPI.
5. Compliance with Candidate and Charterholder Agreement. A Candidate or Charterholder shall fully comply with their obligations under the Candidate and Charterholder Agreement, and the Candidate or Charterholder shall immediately notify FDPI if they are not in full compliance with such obligations.

Candidates who have successfully passed the FDP exam and have submitted the certificates of completion for the online class requirements will be invited via email to submit their signed Code of Ethics along with two professional references to complete the FDP Charterholder process.