



## INTELLECTUAL PROPERTY POLICY

FDPI (through its parent, the Chartered Alternative Investment Analyst Association) owns or has rights to the following marks (collectively, the “FDPI Marks”):

- FDP
- FDPI
- Financial Data Professional
- FDP Institute
- Financial Data Professional Institute
- The FDP Institute logo shown above

The FDPI Marks fall into three categories: service marks, certification marks and collective marks. The Service Marks are for use by the *Institute*, while the Certification and Collective marks are for use by our *Charterholders*.

### Limited right of Charterholder to use the FDP Certification and Collective Marks

Subject to the terms of this Intellectual Property Policy, FDPI grants the right to use the FDP Certification and Collective Marks to those individuals who have been granted the status of FDP Charterholder. Only individuals who have been granted such status (each such individual is hereinafter referred to as a “Charterholder,” and such status as “Charterholder status”), but *not* those individuals who have been granted only the status of ‘FDP Profile’ or ‘FDP Exam Enrollment’, may use the FDP Certification and Collective Marks.

If FDPI revokes a Charterholder of its Charterholder status for any reason, any right to use any FDPI Marks shall be automatically and immediately revoked without any obligation on behalf of FDPI to notify such Charterholder of such revocation. If the Charterholder fails to (1) cease using all FDPI Marks within sixty (60) days of such revocation, then the Charterholder shall indemnify and hold harmless FDPI for all costs incurred, including but not limited to attorney’s fees and costs, in obtaining the Charterholder compliance with the terms of this Intellectual Property Policy.

The examples set forth below are intended to illustrate proper use of the FDPI Marks. Any questions regarding proper use of the FDPI Marks should be directed to FDPI staff by e-mail at [charterholder@fdpinstitute.org](mailto:charterholder@fdpinstitute.org).

The FDPI Marks are recognized symbols of the education and expertise that distinguish the Charterholders from other financial data professionals. If the FDPI Marks are used improperly, FDPI may lose its rights to them. Each Charterholder shall report any suspected improper use of the FDPI Marks to FDPI.



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## I. Certification Marks

- **FDP**
- **Financial Data Professional**

### Purpose

FDPI's certification marks have a very specific and limited purpose: they indicate that the Charterholder using them has passed all of FDPI's required examination and online class requirements and has been granted Charterholder status by FDPI. These certification marks are a critical means of assuring the public that it can always expect a high level of training and expertise when the FDP, FDPI and Financial Data Professional designations are used.

### Proper Use

The certification marks are typically used after the Charterholder's name. For example:

- Sloan Adams, FDP
  - OR-
  - Sloan Adams, Financial Data Professional
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## II. Collective Marks

- **FDP Institute**
- **Financial Data Professional Institute**
- **FDPI**

### Purpose

The purpose of the collective marks is very similar to that of the certification marks above: to assure the public that the person using the collective Charterholder status marks is a Charterholder in good standing of FDPI. While the certification marks indicate the person's individual professional *qualifications*, the collective marks refer to the person's *affiliation* with the Institute.

### Proper Use

The collective marks must be preceded by the word "Charterholder" and come after the Charterholder's name. For example:

- Robin Smith, Charterholder, FDP Institute



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### III. Service Marks

- **FDPI<sup>SM</sup>**
- **FDP Institute<sup>SM</sup>**
- **Financial Data Professional Institute<sup>SM</sup>**
- **The FDP Institute Logo shown above.**

#### Purpose

The service marks are intended for use only by FDPI itself to identify itself and its programs, in contrast to the certification and collective marks, which are used exclusively by FDP Charterholders. The circumstances when a Charterholder might use the service marks instead of the certification marks or collective marks are extremely rare and Charterholders should avoid using any FDPI Marks other than the certification and collective marks as described above.

#### Proper Use

The service marks are to be used by FDPI in its own materials when referring to its educational and other services, but not to refer to the Designation.

An example of proper use of the service marks is as follows:

- FDP Institute<sup>SM</sup> is the world leader in financial data professional education.

### III. General Rules for Proper Use of All FDPI Marks

#### A. Avoid Generic Uses

The FDPI Marks must not be used as generic terms – *i.e.*, as a common name for a category of products or services. In particular, the abbreviation FDP should never be used as a noun. Reference to all financial data professionals as “FDPs” would be improper and could lead to that mark becoming generic and losing all its value, similar to what has happened with “thermos” and “escalator”. If the use becomes generic, both FDPI and its Charterholders will lose their exclusive right to use these valuable marks.

#### Improper Use

Examples of improper use of the FDP Marks are as follows:

- Robin Smith is an FDP.
- Robin Smith and Taylor Jones are FDPs.



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### B. Use Correct Symbols & Notices

Only the <sup>SM</sup> symbol should be used in connection with the Service Marks as shown in the examples above. The ® symbol should *not* be used (except by FDPI in connection with the FDP Institute logo). Misuse of the ® symbol can lead to legal difficulties in some jurisdictions, so do not use the ® symbol except as specifically illustrated in this Policy.

In the text of documents where the repeated use of the <sup>SM</sup> symbol may not be desirable or practical, then the first and most prominent use of the FDPI Mark should include the appropriate symbol. Subsequent uses on the same document or page need not feature a trademark symbol but consider using **boldface** or *italics* as another means of distinguishing the mark.

The FDP Institute logo mark is federally registered; thus, the federal symbol (®) must be used with this mark wherever it appears.

It must always be specified in a tag line at the end of an article and at the bottom of an advertisement or promotional literature that the FDPI Marks are the property of the CAIA Association, for example:

- The FDP Institute Logo is a registered service mark and FDPI is a service mark owned by the Chartered Alternative Investment Analyst Association and used by permission.
- FDP and FDPI are certification marks owned and administered by the Chartered Alternative Investment Analyst Association and used by permission.

### C. Use Proper Capitalization

The abbreviation FDP must always appear in all capital letters. This rule applies even if you have chosen an all-lowercase design for your letterhead or business cards; there are no exceptions. With respect to the Financial Data Professional and Financial Data Professional Institute marks, the first letter of each word must always be capitalized.



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Examples of proper use of the collective and certification marks are as follows:

- Robin Smith, FDP  
-OR-
- Taylor Jones, Financial Data Professional

Examples of improper use of the service marks are as follows:

- Robin Smith, fdp  
-OR-  
robin smith, fdp
- Robin Smith is a financial data professional.

### **D. No Alterations**

The form of the FDPI Marks must never be altered to create a new word, phrase, or design, and they must never be used in the plural or possessive forms.

Examples of improper use of the FDPI Marks are as follows:

- Robin Smith, Professional in Financial Data

The FDPI Marks must not be used as part of, or incorporated in, the name of a company or imply that the company is entitled to use the FDPI Marks. Additionally, the FDPI Marks may not be used in a Charterholder's e-mail address or in a personal or company domain name. These designations apply only to individuals.

Examples of improper use of the FDPI Marks in company names and domain names are as follows:

- Robin Smith, Inc., Financial Data Professional
- Robin Smith FDP, Inc.
- RobinSmithFDP.com
- RobinSmithFDP.org