INTERNET LINKS TO HELPFUL MATERIAL

**Designations**

List of over 100 designations prepared by Finra. The list changes periodically.

<http://apps.finra.org/DataDirectory/1/prodesignations.aspx>

Map of states that have enacted regulations or rules regarding the use of professional designations. Map is on Slide 17 but you may wish to check for updates periodically:

<http://www.finra.org/Investors/ProtectYourself/BeforeYouInvest/p120759>

**Unfair or Deceptive Acts or Practices**

Federal Reserve Exam Procedures:

<http://www.federalreserve.gov/boarddocs/caletters/2007/0708/07-08_attachment.pdf>

*Section 5(a) of the Federal Trade Commission Act (FTC Act) (15 U.S.C. Section 45) prohibits ‘unfair or deceptive acts or practices in or affecting commerce.’ This prohibition applies to all persons engaged in commerce, including banks.*

FDIC: <http://www.fdic.gov/news/news/financial/2004/fil2604.html>

OCC Advisory Letter AL2002-3 *Guidance on Unfair or Deceptive Acts or Practices*

<http://www.occ.gov/static/news-issuances/memos-advisory-letters/2002/advisory-letter-2002-3.pdf>

**Industry Codes of Conduct**

CFP Board’s Standards of Professional Conduct

<http://www.cfp.net/Learn/Ethics.asp>

AICPA Code of Professional Conduct

<http://www.cfp.net/Learn/Ethics.asp>

CFA Standards of Practice Handbook

<http://www.cfapubs.org/doi/pdf/10.2469/ccb.v2010.n2.1>