

CIMA[®] CERTIFIED INVESTMENT MANAGEMENT ANALYST[®]

TRUST YOUR
PORTFOLIO TO AN
INVESTMENT EXPERT.

WORK WITH A CIMA[®] PROFESSIONAL



INVESTMENTS & WEALTH INSTITUTE[®]

INTERNATIONAL CERTIFICATION FOR INVESTMENT MANAGEMENT PROFESSIONALS

WHAT IS CIMA CERTIFICATION?

Certified Investment Management Analyst® (CIMA®) is the international certification for financial advisors and investment consultants and one of the only professional certifications in financial services to meet international accreditation and quality standards.

The CIMA Certification requires advisors to meet rigorous standards:

EXPERIENCE

At least three years of relevant financial services experience and a clean regulatory record

ETHICS

Comply with the *Institute Code of Professional Responsibility* or lose the certification

EDUCATION

Complete executive education at a top 25 global business school

EXAM

Pass a stringent five-hour examination

CONTINUING COMPETENCY

Stay updated on industry trends, laws, and products with 40 hours of continuing education every two years, including two hours of ethics education

By learning and applying sophisticated technical investment knowledge in their practices, CIMA professionals provide high-quality investment management advice most valued by investors.*

*Investments & Wealth Client Research, Absolute Engagement, 2017

WORLDWIDE STANDARDS, CLIENT ACCOUNTABILITY

The CIMA certification process is accredited to be valid, reliable, fair, transparent, and objective by the American National Standards Institute (ANSI) under an international standard for personnel certifications. ANSI accreditation demonstrates that the CIMA certification consistently distinguishes those who meet a level of investment management competency and skills from those who do not.

Because CIMA certification content is derived from an independent job analysis, the knowledge and skills required are those needed by today's investment advisor professionals. In other words, you can trust that the CIMA certification represents the most relevant concepts applicable to your situation today.

CIMA professionals build trust, exhibit credibility, and foster accountability as they act in the best interest of clients.

86%

86 percent of high-net-worth investors stated that it is important or very important that their advisor meets a rigorous set of standards to be certified.*

Investments & Wealth Client Research, Absolute Engagement, 2017

CIMA[®]
CERTIFIED INVESTMENT
MANAGEMENT ANALYST[®]



Accreditation ID#1005
ISO/IEC 17024 Personnel Certification Program

KNOWLEDGE DOMAINS

Fundamentals:

- Statistics and methods
- Applied finance
- Economics
- Global capital markets

Investments:

- Investment Vehicles
- Equity
- Fixed income
- Alternative investments
- Options/futures
- Real assets

Portfolio Theory and Behavioral Finance:

- Portfolio theories and models
- Behavioral finance theory
- Investment philosophies and styles
- Tools and strategies

Risk and Return:

- Attributes of risk
- Risk measurements
- Performance measurement and attribution

Portfolio Construction and Consulting Process:

- Ethics
- Client discovery
- Investment policy
- Portfolio construction
- Manager search and selection
- Portfolio review and revisions

WHEN IT'S ABOUT YOUR INVESTMENTS, EXPERTISE IS ESSENTIAL.

WHAT DOES A CIMA PROFESSIONAL KNOW?

CIMA advisors have completed a rigorous process and have demonstrated knowledge and competency in a variety of investment management and portfolio construction topics (see knowledge domains). The CIMA advisor learns sophisticated, technical investment concepts and how to apply them for individual and institutional clients.

WORLD-CLASS EDUCATION

The average time commitment to complete the CIMA program is nine months, and fewer than four out of 10 candidates who start the program successfully pass all requirements to earn the certification. The executive-level education required is taught exclusively at top business schools, including:



Yale SCHOOL OF
MANAGEMENT
Executive Education

INSTITUTE CODE OF PROFESSIONAL RESPONSIBILITY

The *Code* was adopted to promote and maintain a high standard of professional conduct in the investment consulting and wealth management disciplines.

Investments & Wealth Institute members, candidates in the Institute certification programs, and Institute certificants are required to adhere to the following principles:

1. Act in the best interest of the client.
2. Disclose services to be offered and provided, related charges, and compensation.
3. Disclose the existence of actual, potential, and/or perceived conflicts of interest and relevant financial relationships, direct and/or indirect. Take appropriate action to resolve or manage any such conflicts.
4. Provide clients information needed to make informed decisions.
5. Respond to client inquiries and instructions appropriately, promptly, completely, and truthfully.
6. Maintain confidentiality of client information, however acquired, consistent with legal and regulatory requirements and firm policies.
7. Provide competent service by truthful representation of competency, maintenance and/or development of professional capabilities, and, when appropriate, the recommendation of other professionals.
8. Comply with legal and regulatory requirements related to one's practice of his or her profession.
9. Maintain a high level of ethical conduct.

ETHICS BEGIN WITH AN EXCEPTIONAL ADVISOR.

WHY SHOULD I WORK WITH A CIMA® PROFESSIONAL?

CIMA advisors are found in every part of the advisor industry—from full-service firms, to banks, and independent shops—and in 39 countries.

In a recent study, 80% of high-net-worth clients stated that what matters most to them in an advisor is high ethical standards and that their advisor is trustworthy.*

*Investments & Wealth Client Research, Absolute Engagement, 2017

CIMA advisors are bound to the *Code of Professional Responsibility* which defines their role and responsibilities to the client. As applicants, candidates must disclose any potential or real violations of the *Code* plus pass a comprehensive background check before they are admitted to the CIMA certification program.

As the standards board for the CIMA certification program, Investments & Wealth Institute is committed to upholding the *Code of Professional Responsibility* by instituting a disciplinary process to ensure compliance. Failure to comply can lead to public disciplinary measures, including loss of the certification.

ABOUT THE **INVESTMENTS & WEALTH INSTITUTE**

The Investments & Wealth Institute is a professional association, advanced education provider, and standards body for financial advisors, investment consultants, and wealth managers who embrace excellence and ethics. Through our events, continuing education courses, and acclaimed certifications—Certified Investment Management Analyst® (CIMA®), Certified Private Wealth Advisor® (CPWA®), and Retirement Management Advisor® (RMA®)—we deliver rigorous, highly practical education.



For more information on the CIMA certification as well as the Investments & Wealth Institute, visit www.investmentsandwealth.org/CIMA

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